

## **APPENDIX B**

### **CRITICAL OUTCOMES, OBJECTIVES AND PERFORMANCE MEASURES**

**FY 2000**

**BROOKHAVEN NATIONAL LABORATORY**

**April 2000**

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## Performance Evaluation System

### Introduction

This Contract Appendix sets forth the performance evaluation system (including processes, criteria, schedules, and measures) that will be used to evaluate the overall performance of Brookhaven Science Associates (BSA) in the management and operation of Brookhaven National Laboratory (BNL) in Fiscal Year 2000 (FY00).

For the period of FY00, in accordance with Article 6 of the Contract, the Parties have agreed to use a Performance-Based Management System (PBMS) which includes clear and reasonable objectives, against which BSA's overall performance will be evaluated. For this purpose, the parties have agreed to an objective hierarchy consisting of Critical Outcomes, underlying Objectives, and associated Performance Measures with predetermined weights and metrics for the assessment of BSA's performance and the resulting determination of fee. This "Critical Outcome Process" is designed to measure overall performance and drive the improvement agenda of the Laboratory by linking Laboratory rewards, i.e., performance ratings and associated fees, to a prioritized set of objectives that have been mutually developed by DOE and BSA. DOE and BSA have mutually agreed to the specific Critical Outcomes, Objectives, and Performance Measures contained herein and, as described in Articles 6 and 7, agree to a reassessment of the process, prior to the beginning of each evaluation period.

In addition to the above noted Performance Measures, there are other DOE expectations related to BNL performance. In general, these are also derived by the Critical Outcome process, but are deemed of lesser importance in regard to determining the overall performance of the Laboratory. Attachment 3, entitled "Other Contract Expectations" contains a list of these performance expectations, categorized by the Critical Outcome to which they are related, and a discussion about how these will be used by DOE in evaluating the Laboratory's performance is contained in the section of this Introduction entitled "DOE Evaluation." The Laboratory's Annual Self-Evaluation will include a discussion of BNL performance relative to these items.

In a July 13, 1998 memorandum, the Director of the DOE Office of Science (SC) identified high-level expectations in six critical areas that SC would use to guide its regular assessment of Laboratory performance. These critical areas are Science, Leadership, Environment Safety & Health (ES&H), Infrastructure, Business Operations, and Stakeholder Relations. In this memorandum it was noted that SC expects SC/HQ program managers, field offices, and laboratories to work in partnership to develop laboratory-specific outcomes, objectives, and measures which support these high-level expectations and to use self-assessment as a tool to ensure desired outcomes and achieve continuous improvement.

### Critical Outcomes, Objectives, and Performance Measures

The Critical Outcomes identified below were developed using this guidance and the site-specific needs for improvement at BNL. DOE-BHG, CH and HQ, in partnership with BSA, have mutually agreed that the specific Critical Outcomes appropriate for BNL. These Critical Outcomes are those end state results having the highest level of strategic impact and value to DOE.

The Laboratory's Critical Outcomes for Fiscal Year 2000 are:

1. **Basic Science and Technology** - BNL will deliver innovative, forefront science and technology aligned with DOE strategic goals in a safe, environmentally sound, and efficient manner, and will conceive, design, construct, and operate world-class user facilities.
2. **Communications and Trust** - BNL will be recognized as a community asset, a good neighbor, and a valued employer.

3. **Environment, Safety, and Health Excellence** - BNL will conduct all work and operate all facilities with distinction, fully integrated with and supportive of its science, technology and cleanup missions, while being fully protective of its workers, users, the public, and the environment.
4. **Leadership and Management** - BNL will be recognized by its Users, staff, stakeholders, and customers as having the highest quality leaders and staff; as being an exemplary environmental steward; and supporting its missions with the best business practices, computing services, infrastructure, and information management systems.

Flowing from these four Critical Outcomes are 24 underlying Objectives that constitute the necessary and sufficient accomplishments for achieving the Critical Outcomes they support. They are sustainable targets over a 1-3 year timeframe and form a complete, non-redundant set of results for evaluating progress toward achievement of the Critical Outcomes.

Performance Measures are a clear, unambiguous set of conditions that, by definition and mutual agreement, determine completely the extent to which an Objective is achieved. As with the Critical Outcomes and Objectives, Performance Measures form a complete, non-redundant set of achievements to ensure adequate coverage and balanced priorities for a given Objective. Performance Measures are specific to the performance period, i.e., the fiscal year, and require the development of metrics to facilitate adjectival ratings. For FY00, 34 Performance Measures were developed using the guidelines discussed on page 9 of this document.

The Critical Outcomes, Objectives and Performance Measures agreed to for FY00 through the DOE/BSA Critical Outcome process are contained in Attachment 1 to this Appendix.

To determine the Laboratory's overall performance, Critical Outcomes, Objectives and Performance Measures are weighted to reflect the priority DOE attaches to the accomplishment of each. Performance against each of the Measures is then assessed and rolled up into a rating not only for each Objective and Critical Outcome area, but also for the overall performance of Laboratory.

In FY00, the relative weights of the Critical Outcomes reflect a high priority on the success of the Laboratory's science and technology mission and the need for continued improved performance in the areas of ES&H, Communications and Trust, and Environmental Stewardship.

At the Objective level, a similar situation exists. In particular, the FY00 priorities continue to reflect an emphasis on infrastructure development; i.e., management systems, work control programs, and other such systems; than on operational results. This is because the noted infrastructure developments are precursors to achieving the desired improvements in operational performance. Following the completion of this development and implementation phase in FY00, the Objective priorities will undergo a systematic shift to focus on operational results.

It is important to emphasize that the Critical Outcome process must be flexible to accommodate changes as planned improvements are realized and/or customer priorities vary. For example, even though the Critical Outcomes and Objectives are designed as sustainable targets over a 3-5 year and 1-3 year time frame respectively, their relative weights are expected to change more frequently. Reprioritization of the Critical Outcomes, Objectives, and Performance Measures is a fundamental part of the annual Critical Outcome process.

In addition, there may be a need to change some Performance Measures (or metrics), and perhaps the relative weights of the corresponding Objectives, within the fiscal year as DOE priorities shift and/or new information is acquired. This will be accomplished under formal change control within the Laboratory and subject to approval by the DOE Contracting Officer.

#### **Annual Self-Evaluation and Improvement Agenda**

Collectively, the Critical Outcomes, Objectives and Performance Measures constitute a major portion of the BNL Integrated Information Management System. As such, they form the basis for the Laboratory's annual Self-Evaluation process and are key elements in the Integrated Assessment and Process Improvement Programs. These are the keys to closing the feedback loop of the Laboratory's Performance-Based Management System.

On an annual basis, the Laboratory will conduct a formal Self-Evaluation of its performance relative to each Critical Outcome, Objective, and Performance Measure identified in Attachment 1 to this Appendix. This will be part of the broader Integrated Assessment Program and will become a major part of an Annual Self-Evaluation Report to DOE. This Report will also address other significant issues or opportunities that arise from the Laboratory's broader Integrated Assessment Program whether or not they impact the Critical Outcomes.

Process improvement at BNL involves two levels, Laboratory-wide and the Directorate/Department/Division level. The Laboratory's Integrated Assessment Program is the primary mechanism to identify and prioritize improvement initiatives. At the Laboratory level, these would be factored into the Critical Outcomes, Objectives, and/or Performance Measures for the next performance period. The Program will also identify and prioritize improvement actions at Directorate/Department/Division levels. This is the level at which organizational specific requirements, e.g., Balance Score Card and Property and Procurement, may be addressed.

### **Schedule**

In order to meet customer and stakeholder expectations, as well as clearly define the path forward, the following schedule is presented.

<b><u>DATE</u></b>	<b><u>ELEMENT</u></b>
10/31/99	Contractor submits FY99 Annual Self-Evaluation report to DOE
11/15/99	DOE submits draft Evaluation report to Contractor
11/30/99	Contractor submits comments on draft report
12/15/99	DOE transmits final FY99 Evaluation report to Contractor.
01/00	BNL/DOE Management retreat to assess customer strategic needs and revise Critical Outcomes and Objectives, as necessary.
02/01/00	Begin development process for FY01 Critical Outcomes, Objectives, and Performance Measures.
04/15/00	Contractor submits mid-year status report.
04/30/00	DOE performs mid-year status review.
04/30/00	FY01 Critical Outcomes, Objectives and Performance Measures prioritized and approved by BNL and DOE-BHG.
05/15/00	Final FY01 Critical Outcomes, Objectives, and Performance Measures submitted to DOE-Chicago.
06/15/00	Final FY01 Critical Outcomes, Objectives and Performance Measures to DOE-HQ.
09/30/00	FY00 evaluation period ends.
09/30/00	Incorporate FY01 Critical Outcomes into Contract.
10/15/00	Contractor submits FY00 Annual Self-Evaluation report to DOE.
11/01/00	DOE transmits draft Evaluation Report to Contractor.

11/15/00	Contractor submits comments on draft report.
11/30/00	DOE transmits final FY00 Evaluation report to contractor.

### **Scoring**

Each of the Performance Measures has an associated metric accompanied by a scale that translates the level of performance to an adjectival rating. Unless otherwise specified for a given measure, the scoring methodology for the assessment process is based upon the following adjectival ratings:

- Outstanding - Significantly exceeds the standards of performance, achieves noteworthy results, accomplishes very difficult tasks in a timely manner.
- Excellent - Exceeds expectations and standards of performance, accomplishes difficult tasks in a timely manner, and minor deficiencies are more than offset by better performance in other areas.
- Good - Meets expectations and standards of performance, actions are carried out in an efficient and timely manner, deficiencies do not affect overall performance.
- Marginal - Below the standards of performance, deficiencies cause serious delays and re-scheduling, schedules are adversely affected.
- Unsatisfactory - Well below standards of performance, deficiencies cause serious delays and re-scheduling, corrective action requires high-level management attention.

Scoring of the individual Performance Measures is based on the following point scheme:

Outstanding	4
Excellent	3
Good	2
Marginal	1
Unsatisfactory	0

For example, in any given Performance Measure, if the adjectival rating is "Excellent," a score of 3 is given to the measure. An Objective score can then be computed by multiplying the weight of each Performance Measure in that Objective by its score. These are added together to develop an overall score for each Objective which is then translated into an adjectival rating. The process is continued for the Critical Outcomes by multiplying the scores for each Objective within a given Critical Outcome by its corresponding weight, adding the resulting numbers to get a Critical Outcome score, and converting this score to an adjectival rating as done for the Objective level. The same process is then used to calculate an overall score, and then the adjectival rating, at the Laboratory level.

The following list provides that scoring range for the Objective, Critical Outcome, and Laboratory levels.

OUTSTANDING	>3.5 to 4.0
EXCELLENT	>2.5 to 3.5
GOOD	>1.5 to 2.5
MARGINAL	>0.5 to 1.5
UNSATISFACTORY	≤ 0 to 0.5

### **Weighting**

DOE and the Contractor have agreed that the individual Critical Outcomes, Objectives and Performance Measures will be the primary (but not the sole) criteria for determining the Contractor's final performance ratings and fee for the performance period.

For the primary criteria, the following list provides the weights of each Critical Outcome, Objective, and Performance Measure for FY00. These weights were developed in a partnership between DOE and the Contractor and were designed to achieve an appropriate balance between mission priorities and improvement needs. Relative importance of a Critical Outcome, Objective, or Performance Measure is indicated by a higher relative weight.

•	<b>1.0 Excellence in Science &amp; Technology</b>	<b>60%</b>
	- Objective 1.1 Research Quality	40%
	- Objective 1.2 Relevance to DOE Missions	10%
	-Objective 1.3 Constructing & Operating Res. Facilities	40%
	-Objective 1.4 Research Program Management	10%
•	<b>2.0 Communications and Trust</b>	<b>5%</b>
	- Objective 2.1 Responsiveness	30%
	Measure 2.1.1 Strategic Communications	100%
	- Objective 2.2 Stakeholder Involvement	40%
	Measure 2.2.1 Community Involvement Process	80%
	Measure 2.2.2 Community Advisory Council	20%
	- Objective 2.3 Understanding	30%
	Measure 2.3.1 Stakeholder Relations Program	65%
	Measure 2.3.2 Speakers Program	35%
•	<b>3.0 Environment, Safety and Health Excellence</b>	<b>10%</b>
	- Objective 3.1 Environmental Excellence	30%
	Measure 3.1.1 Compliance	70%
	Measure 3.1.2 Prevention/Minimization	30%
	- Objective 3.2 Org and Mgmt Systems Excellence	70%
	Measure 3.2.1 ISMS Milestones	80%
	Measure 3.2.2 EMS & GPIIP	20%
•	<b>4.0 Leadership and Management</b>	<b>25%</b>
	- Objective 4.1 Leadership	20%
	Measure 4.1.1 Diversity	10%
	Measure 4.1.2 Personnel	20%
	Measure 4.1.3 Quality of Work-Life	10%
	Measure 4.1.4 Integrated Assessment	45%
	Measure 4.1.5 Corporate Leadership	15%
	- Objective 4.2 Infrastructure	20%
	Measure 4.2.1 Space Consolidation	25%
	Measure 4.2.2 Facilities Management	25%
	Measure 4.2.3 Project Management	50%
	- Objective 4.3 Environmental Stewardship	40%
	Measure 4.3.1 Restoration Program	40%
	Measure 4.3.2 Environmental Mgmt. Schedule	30%

Measure 4.3.3 Effect/Efficient Waste Mgmt	25%
Measure 4.3.4 Disposition of Excess Mat.	5%
- Objective 4.4 Business Operations	20%
Measure 4.4.1 Bus Mgmt Inf Systems	25%
Measure 4.4.2 Process Improvement	10%
Measure 4.4.3 Business Infrastructure	30%
Measure 4.4.4 Computer Security	35%

### **DOE Evaluation**

The DOE evaluation of the Contractor's performance, and in turn, the DOE determination of the Contractor's Fee, will be based primarily on the performance levels achieved against the weighted Performance Measures identified above. In addition, for each Critical Outcome area, the Contracting Officer will also consider the Laboratory's performance against the Other Contract Expectations of Attachment 3 and any other relevant information directly related to the Critical Outcome which is deemed to have had an impact (either positive or negative) on the Contractor's performance. Should the Contracting Officer consider other relevant information, including performance against the Other Contract Expectations in Attachment 3, in establishing the final performance rating for any Critical Outcome, the Contractor will receive written notice of such intent and will be given the opportunity to respond in writing. Further, the parties agree that the score, which results from an evaluation of the Contractor's performance against the weighted Critical Outcomes, Objectives, and Performance Measures of Appendix B can be changed by no more than +/- 0.15 at the Critical Outcome level if the Other Contract Expectations of Appendix 3 are utilized by the Contracting Officer in establishing the final performance rating for a Critical Outcome. This agreement does not impact DOE's rights under Article 6 – Paragraph (f) of the Prime Contract.

### **Change Control**

Both DOE and BSA acknowledge that implementation of this performance-based contract will require both parties to continually refine selected Performance Measures, develop appropriate metrics, implement data collection and reporting mechanisms, and establish benchmarks against which to set targets for performance improvement and/or measurement. It is also recognized that a continuing effort is needed to refine the system for scoring performance in each of the Critical Outcomes included in this Appendix and for integrating these scores into an overall evaluation rating for each performance period. Therefore, a change-control process will be used by DOE and BNL to manage the content of this contractual document.

### **Performance Measure Development**

The following concepts were used in the development of the Performance Measures and are provided for information and clarification in the process.

1. Critical Outcomes and their underlying Objectives, Performance Measures should influence the improvement agenda of the Laboratory. They should incorporate best practices and reflect the DOE and BNL functional manager's judgment as to the key performance elements for overall successful operations. Best practices should include cost/risk/benefit effectiveness. Examples of key elements addressed are:
  - Quality of product
  - Timely delivery
  - Cost reduction
  - Cycle time reduction
  - User friendliness
  - Meet DOE requirements



2. Performance Measures should be results-oriented and should include criteria which are objectively measurable and allow for meaningful trend and rate of change analysis where possible, and use qualitative criteria in those cases where objective criteria will not produce meaningful evaluation results.
3. Measures may reference industry business standards that are meaningful, appropriate and consistent with DOE requirements rather than arbitrary standards. To this end, benchmarking initiatives are encouraged. Setting benchmarks and targets should consider whether it is cost-effective to make further improvements or if the target level should be raised.
4. The relative weighting and metric for each Performance Measure shall be established prior to the start of the performance measurement period by mutual agreement of the Contractor and the DOE Contracting Officer. If the parties cannot reach agreement, the Contracting Officer shall have the right to establish such weights, subject to the provisions outlined in Article 7 of the Prime Contract.
5. Management approach, assumptions (including definitions), and performance rating levels shall be documented as appropriate.
6. Measures are to be developed in a team approach involving DOE personnel and Laboratory functional managers. Care should be taken to ensure that Laboratory functional managers are accountable for the resulting measures, reflecting their status as those responsible for performance and improvement.
7. Not including a Performance Measure does not diminish the need to comply with contractual requirements in that area of performance. Failure to comply with a significant contractual requirement may result in the Contracting Officer overriding the performance measures.
8. The Director of the Office of Science (SC-1) has the primary responsibility for evaluating Science and Technology performance (Critical Outcome 1), but practical input also will be sought from cognizant DOE Assistant Secretaries, Office Directors, and Program Managers. The Contracting Officer has the primary responsibility for evaluating performance relative to Critical Outcomes 2 through 7 in accordance with the Objectives, Performance Measures, and metrics of Attachment 1 and the Other Contract Expectations of Attachment 3 to this Appendix B. However, the Contracting Officer shall inform SC-1 of any issues or concerns that should be considered when evaluating the Contractor's performance in Critical Outcome 1. This is especially important in those areas where operational performance could have a significant impact on the Contractor's ability to conduct successful research for the Department. The Contractor has responsibility to compile the data necessary to document its performance against all measures.

## **Critical Outcome 1: Basic Science & Technology**

BNL WILL DELIVER INNOVATIVE, FOREFRONT SCIENCE AND TECHNOLOGY ALIGNED WITH DOE STRATEGIC GOALS IN A SAFE, ENVIRONMENTALLY SOUND, AND EFFICIENT MANNER AND WILL CONCEIVE, DESIGN, CONSTRUCT, AND OPERATE WORLD-CLASS USER FACILITIES.

The weight of this Outcome is 60% of total.

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Cognizant DOE Assistant Secretaries and Office Directors have primary responsibility for evaluating the performance of Laboratory Science and Technology programs. In carrying out this responsibility, the Assistant Secretaries and Office Directors are likely to request assistance from the Program Managers under whose jurisdiction the various individual Laboratory programs fall.

In performing this evaluation, the Assistant Secretaries and Office Directors have available input from the following sources:

1. DOE Program Managers who carry out periodic reviews of the programs they fund. These reviews usually include use of independent technical experts. The Program Managers may use written reviews as a basis for evaluating the quality of the science and technology performed by the Laboratory and its relevance to their programmatic goals.
2. The Science and Technology Advisory Committee of the BSA Board which oversees the internal reviews of science and technical programs at Brookhaven. Independent review committees whose membership is drawn from the external scientific and engineering communities review each major Laboratory program on an 18-month cycle. The committees evaluate Laboratory divisions and programs with respect to the quality and performance of the staff, the quality and timeliness of the work, and the relevance of the programs to the goals of the Laboratory and sponsoring agencies. Reviews include consideration of the Performance Measures described below. The Committees' written reports and the Laboratory's responses are made available to the BSA Board for Brookhaven, DOE Contracting Officers, and to relevant DOE Program Managers.
3. In addition, input from Advisory Committees reporting to the cognizant DOE Assistant Secretary or Office Director that are appointed formally through the Federal Advisory Committee Act, from reviews of relevant Laboratory activities requested for the Secretary of Energy, or from cognizant Assistant Secretaries and Office Directors may be used.
4. Department Self-Assessments, which include Independent Peer Review and Department and Lab-level Annual Self-Evaluations.

### **Objectives and Performance Measures:**

#### **1.1 Quality of Research**

The weight of this Objective/Measure is 40%.

Reviewers will evaluate the overall quality of the research performed. Depending on the nature of the program, reviewers will consider the following:

Science: Success in producing original, creative scientific output that advances fundamental science and opens important new areas of inquiry; success in achieving sustained progress and impact on the field, and recognition from the scientific community, including awards, peer-reviewed publications, citations, and invited talks.

Technology: Whether there is a solid technical base for the work, the intrinsic technical novelty of the research, the importance of technical contributions made to the scientific and engineering knowledge base underpinning the technology

program, and recognition from the technical community.

## 1.2 Relevance to DOE Missions and National Needs

The weight of this Objective/Measure is 10%.

Reviewers will consider whether the research fits within and advances the missions of DOE; contributes to U. S. leadership in the international scientific and technical communities; contributes to the goals and objectives of the Strategic plans of DOE and other national programs; and the extent of productive interaction with other Science and Technology programs. Depending on the nature of the program, reviewers will consider the following:

Science: The program's track record of success in making scientific discoveries of technological importance to DOE missions and U.S. industry, the degree of industrial interest in follow-on development of current research results, and the effective use of national research facilities that serve the needs of a wide variety of scientific users from industry, academia, and government laboratories.

Technology: The value of successfully developing pre-commercial technology to DOE, other federal agencies, and the national economy, the program's risks and costs, and where appropriate, the degree of industrial interest, participation, and support.

## 1.3 Success in Constructing and Operating Research Facilities

The weight of this Objective/Measure is 40%.

Reviewers will consider whether the construction and commissioning of new facilities is on-time and within budget, whether facility performance specifications and objectives are achieved, the reliability and safety of operations, adherence to planned schedules, and the cost-effectiveness of maintenance and facility improvements.

Reviewers will also assess the quality, innovation and achievements in designing and developing new facilities that will provide the next generation of research tools.

Reviewers of user facilities will also consider whether the user access program is effective, efficient, and user-friendly, the quality of the proposal evaluation process, the strength and diversity of user participation, the productivity of the research supported, both in science and technology, and the level of satisfaction among user groups.

Reviewers will consider the extent to which BNL provides effective and efficient leadership in the development of the Spallation Neutron Source (SNS) Project. In this project the Laboratory will perform assigned tasks and produce scheduled deliverables for the Spallation Neutron Source in accordance with the Inter-lab Memorandum of Agreement (MOA) and the approved annual work plans. Expectations for BNL performance in this area are reflected in the following Table.

Outstanding	Deliver annual work plan elements below cost and ahead of schedule.
Excellent	Deliver annual work plan elements on cost and schedule, including up to 50% of contingency.
Good	Deliver annual work plan elements within BNL project cost and/or schedule, including greater than 50% but less than or equal to 100% of contingency.
Marginal	Delivery of annual work plan elements exceeding cost and/or schedule, including contingency, such that BNL project critical path is impacted.

Unsatisfactory	Delivery of annual work plan elements exceeding cost and/or schedule, including contingency, such that overall SNS project critical path is impacted.
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#### **1.4 Effectiveness and Efficiency of Research Program Management**

The weight of this Objective/Measure is 10%.

Reviewers will consider the quality of research plans; whether technical risks are adequately considered; whether use of personnel, facilities, and equipment is optimized; success in meeting budget projections and milestones; the effectiveness of decision-making in managing and redirecting projects; success in identifying and in avoiding or overcoming technical problems; the effectiveness with which technical results are communicated to maximize the value of the research results and to gain appropriate recognition for DOE and the Laboratory; effectiveness in developing, managing, and transferring to industry intellectual property and technical know-how associated with research discoveries; and the degree to which customer and stakeholder expectations are consistently met.

## **Critical Outcome 2: Communications and Trust**

BNL WILL BE RECOGNIZED AS A COMMUNITY ASSET, A GOOD NEIGHBOR, AND A VALUED EMPLOYER.

The weight of this Outcome is 5% of total.

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### **Objectives and Performance Measures:**

The following metric applies to all Performance Measures in this Critical Outcome:

BNL and BHG will conduct a peer review process to evaluate all of the activities enumerated under each of the Objectives and Performance Measures contributing to this Critical Outcome. This peer-review will engage qualified, experienced, outside experts who will evaluate programs on an annual basis using Baldrige Criteria, Integrated Safety Management Principles, as applicable, and other relevant criteria appropriate to their state of development. Consistent with DOE expectations, a Baldrige scoring system will be used. The primary focus of this evaluation will be on evaluating program improvement. Following the peer-review, DOE-BHG will evaluate Laboratory performance relative to the Performance Measures below based on the information generated.

Consistent with the contract Scope of Work and Off-Ramp provisions the Peer-Review will examine the following key overall questions with respect to the BNL Programs:

- Is there evidence of organizational and cultural change regarding community involvement, i.e. development and implementation of a strong, integrated and proactive community involvement/communications program?
- Is there evidence of the community's increased understanding and respect for the Laboratory's missions and its contribution to science and technology?
- Are there evaluations that support the success of the community involvement initiatives?
- Are there indications that the community is satisfied that their substantive concerns are being adequately addressed?
- Are there reports from the community of positive and multiple relationships with the Laboratory?
- Is the overall BNL program likely to promote achievement of long-range goals?
- Have the Strategic Communications Plan, community involvement plans, and associated activities accomplished the work listed therein and has this work been done in an effective and efficient manner? Does a comparison of the BNL communications programs with other public and private communications programs reveal that BNL programs meet professional standards for prudent and effective communications?
- To what extent are the target audiences, stakeholders, and customers satisfied with the results of BNL's programs?

The key aspects of the Communications Program at BNL are presented below in the Performance Measures. They focus largely on developing the institutional-level operating infrastructure needed to underpin the entire program. It is expected that each element of the Communications Program at BNL will have associated self-assessment activities in the appropriate organizations (i.e.: CIGPA, Departments, and Divisions). These activities and the resulting findings and conclusions will be made available to the Peer-Review team. It is further expected that there will be regular community and employee surveys and follow-ups, the results of which will also be made available to the Peer-Review team (e.g. for the FY99 peer review, the team will review results from comprehensive, Lab-sponsored surveys and the Laboratory's follow-up actions).

### **2.1 Responsiveness**

Enhance the responsiveness and effectiveness of Laboratory communications with internal and external stakeholders.

The weight of this Objective is 30%.

### 2.1.1 Strategic Communications Plan

The weight of this Performance Measure is 100%.

Discussion: The FY00 Strategic Communications Plan is an overall compilation of the Lab's proposed communications activities for FY00. The review shall focus on the overall effectiveness, appropriateness and quality of the deliverables of the communications elements of the major programs listed below.

- BGRR Community Involvement/Communications Program
- RHIC (community involvement, local concerns)
- HFBR
- OU I Community Involvement/Communications Plan
- OU III Community Involvement/Communications Plan
- OU V Community Involvement/Communications Plan
- Elected Official Outreach
- Media Relations Strategy

Together, these complex programs detail activities, milestones, meetings, and communications products (brochures, releases, etc.) which contribute to the achievement of enhanced responsiveness.

## 2.2 Stakeholder Involvement

Create opportunities for stakeholder involvement and participation in Laboratory decision-making processes.

The weight of this Objective is 40%.

### 2.2.1 Lab-wide Community Involvement Process

The weight of this Performance Measure is 80%.

The Laboratory will take appropriate steps to involve employees, with special focus on line managers, in an interactive process with the community. This process will be guided by BNL's Community Involvement Plan and Handbook to ensure that stakeholders' views on significant issues are solicited, discussed, analyzed and ultimately become part of the decision-making process, as appropriate, with feedback supplied to the community on a timely basis. Feedback to the community will signal the process/decision/action cycle.

Phase One of Plan implementation will include the incorporation of the Plan and Handbook into the Standards-Based Management System, the modification of Level I and II managers R2A2s to include responsibility for community involvement, and community involvement training for these managers. Additionally, the Laboratory will be expected to demonstrate line management understanding and commitment to the Community Involvement Plan and Handbook by using the model and guidance in these documents to involve the community in three (3) issues/projects or programs. Particular emphasis will be given to those projects and programs identified to be of importance by the community or which are likely to have a direct impact on the community. Reviewers will evaluate the Laboratory's success in incorporating the community involvement process into its management systems and R2A2s. Reviewers will also consider how effectively line managers use the Plan to involve the community in their decision-making activities and the timeliness and appropriateness of their response to stakeholder feedback.

### 2.2.2 Community Advisory Council

The weight of this Performance Measure is 20%.

The Laboratory will fully support the functions of the CAC such as supplying a facilitator, arranging and preparing presentations on a wide range of topics of interest to CAC members, calendar management and meeting organization, response to data requests, correspondence management, etc. in an efficient and timely manner. The Laboratory will also support subcommittees and task forces formed by the CAC as well as panel discussions and special events of interest to CAC members and the community. Feedback from Council membership will be provided to, or independently gathered by, reviewers for consideration in the evaluation.

## **2.3 Understanding**

Achieve a better understanding between internal and external stakeholders.

Understanding that each of the programs in this section depend on volunteers, reviewers will evaluate the Laboratory's success in targeting and reaching individuals and organizations, who/which have been underrepresented in the Laboratory's community relations programs or who/which provide opportunities for the Laboratory. The goal of these programs is to inform and educate a wider spectrum of the community about the Laboratory's world class scientific research and its commitment to operational excellence and to receive valuable feedback from these constituencies that can be used to improve and enhance the Laboratory's community relations programs.

The weight of this Objective is 30%.

### **2.3.1 Stakeholder Relations Program**

The weight of this Performance Measure is 65%.

The Laboratory will establish a Stakeholders Relations Program, which will capture significant contacts with stakeholders through outreach activities, the envoy, ambassador and speakers' bureau, the Community Advisory Council and its subcommittees and the Brookhaven Executive Roundtable.

Phase One of the Stakeholder Relations Program will include the creation of a database of stakeholders and the identification of ten Laboratory managers/staff and five DOE Brookhaven Group staff to actively participate in the program. These fifteen people will be asked to routinely contact targeted stakeholders and to report on these contacts through the database. It is anticipated that contact information might include information requested by the stakeholder and a date for a response, issues of interest and other relevant feedback concerning Laboratory projects, issues and programs. Feedback from the Envoy, Ambassador and Speakers' Bureau programs and information from the Laboratory's Outreach and Community Involvement programs will also be included in the database.

### **2.3.2 Speakers Bureau**

The weight of this Performance Measure is 35%.

Discussion: BNL will continue to send informed and skilled speakers to various civic groups and clubs over the course of the year. The Laboratory placed 50 speakers during the first 10 months of FY99. The annual total is estimated at 60 for FY99. Presentations have been made primarily to civic associations, senior citizens groups, and business organizations. Activities to stimulate requests for BNL speakers will be aimed at achieving placement of 70 speakers before the community during FY00.

### **Critical Outcome 3: Environment, Safety and Health Excellence**

BNL WILL CONDUCT ALL WORK AND OPERATE ALL FACILITIES WITH DISTINCTION, FULLY INTEGRATED WITH AND SUPPORTIVE OF ITS SCIENCE, TECHNOLOGY AND CLEANUP MISSIONS, WHILE BEING FULLY PROTECTIVE OF ITS WORKERS, USERS, THE PUBLIC AND THE ENVIRONMENT.

The weight of this Outcome is 10%

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#### **Objectives and Performance Measures:**

BNL will achieve excellence in operational worker safety and health, and in environmental protection.

In addition to the Performance Measures under Objective 3.1, which directly relate to operational ES&H performance, accountability for ES&H performance is implemented or reinforced by several other mechanisms. For example, the Performance Measures under Objective 3.2 address management systems that are directly related to the implementation of ES&H initiatives, and Performance Measures under Critical Outcome 4 address environmental restoration projects and waste management. Also, meeting ES&H expectations will have significant impacts on program performance evaluations under Critical Outcome 1.

Finally, Attachment 3 entitled "Other Contract Expectations" and other clauses in this Contract establish performance expectations and require compliance with a variety of ES&H Standards. Failure under these clauses can have significant contractual impacts independent of the performance ratings. Such impacts vary and may include unilateral alteration of the performance ratings assigned in this Attachment.

#### **3.1 Environmental Excellence**

Achieve integration of environmental stewardship into all facets of the Laboratory's missions, and manage programs and operations in a manner that protects the ecosystem and public health.

The weight of this Objective is 30%.

The Environmental Stewardship Critical Outcome is also related to achievement of this Objective. Implementation of the Environmental Management System and GPIIP milestones are addressed in the Management System Improvement Composite.

Definitions for measures with milestones:

Ahead of schedule: 30 calendar days or more early

On schedule: within 29 calendar days of scheduled delivery of milestone

Minor schedule variance: between 30 – 59 calendar days on any milestone

Significant schedule variance: missing a milestone by more than 60 calendar days

Marginal quality: requires substantial re-work based on EPA/DOE written comments on any milestone.

Each milestone will be awarded points as follows, based on the accomplishment of that milestone.

Outstanding = 4 points

Excellent = 3 points

Good = 2 points

Marginal = 1 point

Unsatisfactory = 0 points

The evaluation of the performance measure will be the numerical average of the scores of the supporting milestones.

Note: These measures have been drafted based upon the assumption that priorities in FY00 will not change (i.e., that no new, urgent high risk activity like the HFBR incident will result in DOE directing



BNL to spend allocated dollars elsewhere). If such a change should occur, the measures will be renegotiated as necessary. Baseline Change Proposals will be used to identify significant change in baseline assumptions, with appropriate changes made to goals.

#### Performance Measures

- 3.1.1 Achieve or maintain compliance with applicable environmental protection requirements.

The weight of this Performance Measure is 70%

3.1.1.1 Close Underground Injection Control Devices

3.1.1.2 Identify and Implement Corrective Measures to Achieve Conformance with Article 12 Memorandum of Agreement (MOA)

Scoring of this measure: Total = .5(3.1.1.1) + .5(3.1.1.2)

3.1.1.1 Close Underground Injection Control Devices

Discussion: Continued development and implementation of BNL's Groundwater Protection Program is a high priority. A key aspect of this program is compliance with the provisions of environmental regulations such as Underground Injection Control (UIC) and conformance to the Article 12 provisions in the MOA with Suffolk County Department of Health Services (SCDHS) designed to protect groundwater from contamination. Closure of UICs will limit potential liability for improper discharges to groundwater (by removing the pathway) and will reduce the regulatory burden of UIC permitting and monitoring. It should be noted that all technical difficulties associated with closing UICs are not known. EPA has issued a Consent Order to bring BNL into compliance with UIC requirements.

Scoring and Performance Rating Levels:

Rating Levels	Performance
Outstanding	>80 % of UICs closed
Excellent	70-79% of UICs closed
Good	60-69% of UICs closed
Marginal	50-59% of UICs closed
Unsatisfactory	<50% of UICs closed

Assumptions:

1. Number of UICs in universe is 54. This number does not include UICs closed prior to FY99.
2. Funding is released before 01/01/00.
3. "Closed" means the UIC has been sampled if necessary, and an appropriate and complete package has been submitted to the regulatory agency in compliance with applicable requirements.

3.1.1.2 Identify and Implement Corrective Measures to Achieve Conformance with Article 12 Memorandum of Agreement

Discussion: DOE has an MOA with SCDHS regarding conformance with Article 12 provisions. Conformance with the technical provisions of Article 12 is a key aspect of BNL's Groundwater Protection Program. Line organizations will identify and implement corrective measures geared towards bringing BNL into conformance with applicable provisions of Article 12. These corrective measures will be listed in the Tanks Database maintained by Plant Engineering and the Environmental Services Division. The technical and administrative aspects of Article 12 will be prioritized with SCDHS. A project plan will then be developed

that addresses the highest priority actions. The project plan will include a scope and schedule to facilitate funding requests to ensure conformance with the MOA.

Measure: Define the scope and schedule for conforming to the high priority provisions of Article 12, and implement the corrective measures scheduled and funded for FY00.

Measure B Scoring:

Rating Levels	Performance
Outstanding	90% or more of the corrective measures that have been prioritized, scheduled, and funded for FY00 have been implemented.
Excellent	70-89% of the measures that have been prioritized, scheduled, and funded for FY00 have been implemented.
Good	50-69% of the measures that have been prioritized, scheduled, and funded for FY00 have been implemented.
Marginal	20-49% of the measures that have been prioritized, scheduled, and funded for FY00 have been implemented.
Unsatisfactory	0-19% of the measures that have been prioritized, scheduled, and funded for FY00 have been implemented.

Assumptions:

A "tank" is a storage facility as defined by Article 12. CERCLA tanks will not be included in the Article 12 project plan as they are handled separately under the IAG.

The list of tanks considered under this measure will be provided to DOE by 11/1/99.

- 3.1.2 Integrate pollution prevention/waste minimization and resource conservation into all planning and decision-making. Adopt cost-effective practices that eliminate, minimize or mitigate environmental impacts. Environmental effluents, emissions and wastes are as low as reasonably achievable.

The weight of this Performance Measure is 30%.

Meet critical goals and milestones in the EPA Phase II Process Evaluation Project. Institutionalize program.

Discussion: The Process Evaluation Project is part of the Memorandum of Agreement with EPA. High priority process evaluations were completed in FY99. The remainder are scheduled for FY00. A number of corrective actions have been identified during the process evaluations, and they are tracked in a database.

The process evaluation approach is being institutionalized via implementation of Planning and Control of Experiments (1.3.5), Work Planning and Control for Operations (1.3.6), and Facility Design Review process. The environmental/pollution prevention focus of these programs can be strengthened. The Environmental Compliance Representative (ECR) program will also help institutionalize the process evaluation approach.

Measure:

- Complete balance of PEP process evaluations by 2/28/00. (See Table A)
- Issue PEP Final Report by 6/28/00. (See Table A)
- It can be demonstrated that environmental expertise is involved in experimental review/work planning, as needed, to assist in institutionalizing process evaluations into new work. Demonstration means that either an ECR was involved in the process (e.g., on the Experimental Review Committee and involved in 1.3.6 work planning process), or it can be demonstrated by other means that significant environmental aspects and pollution prevention opportunities were identified and addressed as appropriate during review/work

planning (e.g. procedures are in place to ensure that the appropriate environmental expertise is brought in when necessary). (See Table B)

- Percentage of corrective actions identified in FY99 PEP process evaluations are closed. (See Table C).

Scoring: Add the scores for Table A, B, and C and divide by 3 to achieve the final rating level per Table D.

Table A (PEP Milestones)

Score	Performance
5	Acceptable quality and ahead of schedule.
4	Acceptable quality and on schedule.
3	Acceptable quality and minor schedule variance.
2	Marginal quality or significant schedule variance.
1	Marginal quality and significant schedule variance.

Table B (Demonstrating involvement of environmental expertise in 1.3.5 and 1.3.6 process)

Score	Performance
5	Directorate demonstrates involvement by 11/30/99
4	Directorate demonstrates involvement it by 12/30/99
3	Directorate demonstrates involvement by 1/30/00
2	Directorate demonstrates involvement by 2/28/00
1	Directorate can not demonstrate involvement by 3/30/00

Scores for all Directorates are tabulated and divided by number of Directorates to obtain average score for Table B.

Table C (% of corrective actions identified in FY99 closed)

Score	Performance
5	>90% of corrective actions closed.
4	70-89% of corrective actions closed.
3	50-69% of corrective actions closed.
2	25-49% of corrective actions closed.
1	< 25% of corrective actions closed.

Table D

Rating Level	Score from Table A+B+C/3 = Table D Score
Outstanding	4.0-5.0
Excellent	3.0-3.9
Good	2.0-2.9
Marginal	1.0-1.9
Unsatisfactory	0-0.9

Assumptions:  
None

## 3.2 Organization and Management Systems Excellence

BNL will develop and implement next generation management systems and establish the necessary organizational constructs to ensure continuous improvement in ES&H performance and operations support.

The weight of this Objective is 70%

### 3.2.1 Key ISMS Milestones

The weight of this Performance Measure is 80%

Scoring of this measure: Total = .50(3.2.1.1) + .50(3.2.1.2)

#### 3.2.1.1 ISMS Project Goals

The scoring for this measure will be based on the numeric average of the performance on the three goals.

- BNL issues ISMS Program Description
 

Outstanding	11/30/99
Excellent:	01/30/00
Good	2/29/00
Unsatisfactory	3/31/00
- BNL declares it's readiness for ISMS Phase 1 and Phase 2 Verification
 

Outstanding:	5/1/00
Excellent:	7/1/00
Good	6/1/00
Unsatisfactory	7/1/00
- BNL achieves ISMS Phase 1 and Phase 2 Verification
 

Outstanding:	6/30/00
Excellent:	9/30/00
Good	10/31/00
Unsatisfactory	11/30/00

#### 3.2.1.2 Critical ISMS Quantitative Measures

##### Work Planning and Control

- ESH STD 1.3.5: Based on an assessment for each Department during the fourth quarter FY 2000 of all active experiments, the percent of experiments with current, formally approved ESH STD 1.3.5 documentation.
- ESH STD 1.3.6: Based on an assessment performed by the Work Control working group, of a representative sample of work packages during one week in the fourth quarter FY 2000, the percent of applicable activities for which the work permit process was complete (all hazards identified, controls (including training and monitoring if applicable) identified, approval signatures complete).

The rating for ESH STD 1.3.6 will be based on the numerical average of the two sub-elements. The rating for the entire measure will be based on the numeric average of the ESH STD 1.3.5 and 1.3.6 bullets.

Metric:

Outstanding:  $\geq 95\%$   
Excellent:  $90\%$  to  $< 95\%$   
Good:  $85\%$  to  $< 90\%$   
Marginal:  $80\%$  to  $< 85\%$   
Unsatisfactory:  $< 80\%$

3.2.2 Continue development of, and implement Environmental Management System, and fully implement Groundwater Protection Program.

The weight of this Performance Measure is 20%.

Discussion: Finalizing development and completing implementation of BNL's Environmental Management System will ensure that environmental considerations are fully integrated into the way BNL operates. It will also ensure that commitments in the EPA Memorandum of Agreement are met (Phase III). The path forward to implementing EMS is laid out in the EMS Project Plan. BNL expects to achieve registration for the Lab as a whole by the end of FY01.

The Groundwater Protection Implementation and Integration Plan (GPIIP) describes tasks needed to further integrate the existing Environmental Restoration Groundwater Monitoring program with the environmental surveillance/active Facility Monitoring program. Proceeding with other high priority tasks in the GPIIP is essential to furthering integration of the groundwater programs on-site in an effort to increase their effectiveness and efficiency, and to ensuring a smooth transition of the groundwater program from EM to a landlord function in the future. The GPIIP will be rebaselined as necessary in September of 99. Full implementation will be defined by completion of DQOs and EIMS database integration, with a project review/self-assessment on progress.

Measure:

Meet key milestones of the EMS Project Plan and the GPIIP.

- Laboratory-wide EMS deployment complete, 7/01/00.
- Laboratory self declares conformance to ISO 14001, 9/30/00 (after independent assessment).
- Select facilities (Reactor Operations Division, Environmental Management Directorate, Collider Accelerator Complex, and BLIP) achieve ISO 14001 registration, 9/30/00.
- Establish Environmental Information Management System as the repository for all BNL groundwater data by June 30, 2000.
- Optimize monitoring by conducting the Data Quality Objective process on the groundwater-monitoring network by September 30, 2000.
- Conduct a project review/self-assessment of implementation of components of the GPIIP by 9/30/00.

Scoring:

Each milestone will be awarded points as follows based on the accomplishments of that milestone:

Outstanding = 4 points  
Excellent = 3 points  
Good = 2 points  
Marginal = 1 point  
Unsatisfactory = 0 points

The evaluation of the performance measure will be the numerical average of the scores of the supporting milestones.

Rating Levels	Performance
Outstanding	Acceptable quality and ahead of schedule.
Excellent	Acceptable quality and within milestone.
Good	Acceptable quality and minor schedule variance
Marginal	Marginal quality or significant schedule variance.
Unsatisfactory	Marginal quality and significant schedule variance.

Assumptions:

- Assumptions for each milestone are listed in the GPIIP dated April 30, 1999.
- Milestones will be rebaselined at the end of FY 99 in consultation with DOE, and measures will be revised accordingly.
- On-going discussions between BNL and DOE to coordinate various assessments may result in changes in EMS project dates to accommodate all programmatic needs and achieve efficiencies.

Definitions:

Ahead of schedule: 30 calendar days or more early

On schedule: within 29 calendar days of schedule delivery of milestone

Minor schedule variance: between 30 – 59 calendar days on any milestone

Significant schedule variance: missing a milestone by more than 60 calendar days

Marginal quality: requires substantial re-work based on EPA/DOE written comments on any milestone.

## Critical Outcome 4.0: Leadership and Management

BNL WILL BE RECOGNIZED BY ITS USERS, STAFF, STAKEHOLDERS, AND CUSTOMERS AS HAVING THE HIGHEST QUALITY LEADERS AND STAFF; BEING AN EXEMPLARY ENVIRONMENTAL STEWARD; AND SUPPORTING ITS MISSIONS WITH THE BEST BUSINESS PRACTICES, COMPUTING SERVICES, INFRASTRUCTURE, AND INFORMATION MANAGEMENT SYSTEMS.

The weight of this Outcome is 25% of total.

### Objectives and Performance Measures:

#### 4.1 Leadership

BNL will be recognized by DOE, users, and BNL Staff as the National Laboratory with the highest quality leaders and the most effective and efficient management.

The weight of this Objective is 20% of total.

##### 4.1.1 Diversity

Create a pool of diverse leaders/managers. Maintain/Improve the Diversity Profile of the Laboratory

The weight of this Measure is 10%.

Measure: Increase representation of under-represented minorities and females employed in two job groups: Officials & Managers and Professionals.

Metric: Increase representation of females and minorities by percentage from the below table by achieving or exceeding the rate of entry into each of two EEO categories for women and minorities. A percentage of the availability (A) for each of the groups determines the performance level.

Performance Level	Entry Rate Range as % of Availability (A)	Minimum Entry Rate of Entry Rate Range (Percentage of Hires and Promotions into Group)			
		Officials & Managers		Professionals	
		Women (A=25.5)	Minorities (A= 15.8)	Women (A=35.6)	Minorities (A=16.9)
Outstanding	> 100% of A	24.2	15.0	33.8	16.1
Excellent	80 to 99% of A	23.0	14.2	32.0	15.2
Good	70 to 79% of A	20.4	12.6	28.5	13.5
Marginal	50 to 69% of A	15.3	9.5	21.4	10.1
Unsatisfactory	< 50% of A				

NOTE: Entry rate minimums are calculated using availability percentages from BNL's FY 1999 Affirmative Action Plan. Availability percentages may be adjusted slightly to reflect availability updates in BNL's FY 2000 plan, and the performance thresholds above may be impacted.

The overall score for Affirmative Action/Diversity will be calculated as the total of the scores from each of the four targeted groups weighted according to the table below:

<b>EEO Group</b>	<b>% of Points</b>
Officials and Managers – Women	25
Officials and Managers – Minorities	25
Professionals – Women	25
Professionals – Minorities	25

#### **4.1.2 Personnel**

Create a pool of talented, empowered, motivated, and goal-oriented leaders/managers to enhance the Lab's competitive position in the market for required talent and motivate employees to achieve the Lab's goals.

The weight of this Measure is 20%.

##### **4.1.2.1 Strengthen Performance Appraisal and Goal Planning Process.**

Measure: Degree to which non-bargaining unit staff have established goals for FY 2000 and quality of goals established

The weight of this element is 70%.

Metric:

Outstanding: 95% of level 1, 2, and 3 non-bargaining unit staff and 80% of all other such staff have established goals

Excellent: 95% of level 1, 2, and 3 non-bargaining unit staff and 60% of all other such staff have established goals

Good: 90% of level 1, 2, and 3 non-bargaining unit staff have established goals and 50% of all other such staff have goals

Marginal: 75% of level 1, 2, and 3 non-bargaining unit staff have established goals

Unsatisfactory: <75% of level 1, 2, and 3 non-bargaining unit staff have established goals

Note: New hire and terminating managers will be excluded from the base for these percentages.

##### **4.1.2.2 Incorporate succession planning, job-training-analysis training and 360° Leadership feedback elements into the management goals of managers and supervisors.**

The weight of this element is 15%.

##### **4.1.2.2.1 Implement and Monitor Succession Planning Progress.**

The weight of this sub-element is 30%.

Measure: Percent of Level 1 and 2 managers who have completed succession plans.

Metric:

All Succession Plans complete by 12/31/99 - Outstanding



>90% Succession Plans complete by 12/31/99 - Excellent  
>90% Succession Plans complete by 3/31/00 - Good  
>90% Succession Plans complete by 6/30/00 - Marginal  
<90% Succession Plans complete by 6/30/00 - Unsat

4.1.2.2.2 Implement Job-Training-Analysis-based Training for Managers and Supervisors over the three-year period, 2000 through 2002.

The weight of this sub-element is 40%.

Measure: Percent of required courses completed by Level 1 and 2 Managers.

Metric:

40% Completed by 9/30/00 -Outstanding  
33% Completed by 9/30/00 -Excellent  
25% Completed by 9/30/00 -Good  
18% Completed by 9/30/00 -Marginal  
<18% Completed by 9/30/00 -Unsatisfactory

4.1.2.2.3 Develop Action Plans based on 360° Leadership Feedback Process results.

The weight of this sub-element is 30%.

Measure: Number of Level 1 and 2 manager with completed Action Plans.

Metric:

95% Action Plans complete by 1/31/00 - Outstanding  
90% Action Plans complete by 3/31/00 - Excellent  
75% Action Plans complete by 3/31/00 - Good  
50% Action Plans complete by 6/30/00 - Marginal  
<50% Action Plans complete by 6/30/00 - Unsatisfactory

4.1.2.3 Establish a Quality Review Board which samples the Lab-wide Appraisal process, assesses the consistency of application of the principles and precepts of the Compensation Program, evaluates the quality of all goals and recommends management corrective actions as appropriate.

The weight of this element is 15%.

Measure: Completion of Quality Review Board Charter actions during FY2000 including:

- (a) Reviewing a sample of 100 employee performance appraisals.
- (b) Providing feedback to those sampled regarding compliance with Lab appraisal principles and acceptability of goals.
- (c) Correcting each appraisal and/or goals in accord with feedback.

Metric:

All three actions completed for entire sample - Outstanding  
All actions completed for 75 - Excellent  
All actions completed for 50 - Good  
Completion the first 2 of the 3 actions for 50 - Marginal  
Failure to meet conditions for Marginal - Unsatisfactory

#### **4.1.3 Quality of Work-life**

Provide a high quality work environment that enhances BNL's ability to retain and attract an excellent workforce.

The weight of this Measure is 10%.

Develop and implement a Career Development Planning Process

Measure: Career Development Plans (CDPs) prepared for staff from 3 pilot Directorates.

Metric:

Percentage of CDPs developed in 3 pilot Directorates.

95% completed by 6/30/00 - Outstanding

85% completed by 6/30/00 - Excellent

75% completed by 6/30/00 - Good

65% completed by 6/30/00 - Marginal

<65% completed by 6/30/00 - Unsatisfactory

#### **4.1.4 Integrated Assessment**

The Lab Integrated Assessment Program (IAP) shall be implemented to provide operational, technical, and business performance feedback.

The weight of this Measure is 45%.

4.1.4.1 Achieve the FY00 IAP key milestones and maintain or accelerate the critical path to program completion. These Integrated Assessment Program Milestones are:

- a. Revised FY00 Self-Assessment (SA) Plans for Departments and Divisions approved by the Deputy Laboratory Directors by November 30, 1999.
- b. Independent Oversight SA Review Program evaluation of at least 8 directorates and/or other organizations reporting directly to the BNL Director by September 30, 2000.

The weight of this element is 20%.

Metric:

The FY00 IAP deliverables focus on deployment and results from year two of the implementation of self-assessment. Meeting the project milestones above will be considered Excellent performance, and bettering a milestone by 30 days or more will comprise Outstanding performance for that milestone. Missing a milestone by up to 45 days will be considered Good performance for that milestone, but only if the critical path is not adversely affected. Missing a milestone by more than 45 days will be considered Marginal, and by more than 90 days will be considered Unsatisfactory performance for that milestone.

Each milestone will be awarded points as follows based on the accomplishment of that milestone:

Outstanding - 4 points

Excellent - 3 points

Good - 2 points  
Marginal - 1 points  
Unsatisfactory - 0 points

The evaluation of the Performance Measure will be the numerical average of the scores of the supporting milestones.

- 4.1.4.2 BHG rating of the Self-Assessment Program, within IAP, based on Independent Oversight reviews and overall program rating and supplemented by BHG-generated information.

The weight of this element is 80%.

Metric:

Outstanding - Overall SA Program rating of Outstanding  
Excellent - Overall SA Program rating of Excellent  
Good - Overall SA Program rating of Good  
Marginal - Overall SA Program rating of Marginal  
Unsatisfactory - Overall SA Program rating of Unsatisfactory

#### 4.1.5 Corporate Leadership

The weight of this Measure is 15%.

Brookhaven Science Associates believes that active corporate involvement is a critical success factor in the management of BNL. To implement this, BSA is committed to the following types of activities at BNL:

- Providing highly skilled candidates for senior management positions at the Laboratory;
- Providing proven management systems and processes for enhancing business operations;
- Facilitating the implementation of these with long-term assignments of key leaders and short-term assignments of subject matter experts;
- Conducting management assessments in various areas of Laboratory operations;
- Providing strategic guidance to the science, technology and cleanup missions of the Laboratory

Metric:

BSA performance relative to this measure will be evaluated by the BHG Manager. Performance relative to each item will be determined as acceptable or unacceptable.

Performance related to the measure as a whole will be determined as follows:

Outstanding-	All 5 items determined acceptable
Excellent-	4 of the 5 items determined acceptable
Good-	3 of the 5 items determined acceptable
Marginal-	2 of the 5 items determined acceptable
Unsatisfactory-	1 or less of the 5 items determined acceptable

#### 4.2 Infrastructure

BNL will conduct its business and manage laboratory facilities with distinction, fully integrated with the scientific and technological mission, while being fully protective of workers, public, and the environment.

The weight of this Objective is 20% of the total.

#### 4.2.1 Space Consolidation

The weight of this Measure is 25%.

Measures consolidation of BNL mission activities from small, wood frame structures into existing, permanent, multi-use research facilities. BNL is planning to consolidate programs and support functions into facilities with lower occupancy over the next two years.

Percentage change in office occupancy.

Metric: The percentage change in office occupancy for the BNL's large permanent facilities will be calculated as:

$$OCC = OCC_{00} - OCC_{99}$$

$$OCC_{00} = \frac{\text{actual number of office occupants (FY00)} \times 100}{\text{design office occupancy}}$$

$$OCC_{99} = \frac{\text{actual number of office occupants (FY99)} \times 100}{\text{design office occupancy}}$$

OCC	=	less than	1%	unsatisfactory
		1% to	2.0%	marginal
		2.1% to	3.0%	good
		3.1% to	4.0%	excellent
		greater than	4.0%	outstanding

<b>Building Number</b>	<b>Design Occupancy</b>	<b>Actual Occupancy 10/1/99</b>	<b>% Occupancy 10/1/99</b>	<b>Actual Occupancy 9/30/00</b>	<b>% Occupancy 9/30/00</b>
463	112				
480	39				
490	185				
510/515	428				
535	84				
555	150				
815	74				
911	191				
<b>Totals</b>	<b>1263</b>				

Notes:

- a. Office occupants are employees and guests using/sharing the office at least 150 days per year.
- b. Design office occupancy is per the Plant Engineering space database.
- c. The following buildings will be measured (with their current data shown):

<b>Building Number</b>	<b>Design Occupancy</b>	<b>Actual Occupancy 6/1/99</b>	<b>% Occupancy as of 6/1/99</b>
463	112	96	85.7%
480	39	38	97.4%
490	185	102	55.1%
510/515	428	394	92.1%
535	84	74	88.1%
555	150	100	66.7%
815	74	56	75.7%
911	191	185	96.9%
<b>Totals</b>	<b>1263</b>	<b>1045</b>	<b>82.74%</b>

#### 4.2.2 Facilities Management:

The weight of this Measure is 25%.

##### Condition Assessment Survey Progress

The physical condition of buildings and facilities will be surveyed and assessed (e.g., CAS inspections) over a reasonable time period, in accordance with DOE O 430.1A, "Life Cycle Asset Management" requirements.

The DOE goal is to conduct condition assessments of each building (cover the entire site) every five years. Currently, BNL is surveying buildings on about a ten-year cycle. This measure drives a two-year program to improve CAS inspection cycle time at BNL.

Measure:

Calculate the percentage of the site's buildings, by floor area (square footage), CAS inspected each fiscal year. Convert to cycle time.

Cycle time	Rating
>10 years	unsatisfactory
7–10 years	marginal
5 - 7 years	good
3 - 5 years	excellent
1 – 3 years	outstanding

#### 4.2.3 Project Management:

Projects are managed to ensure scope, schedule and cost. Approved projects are completed on time, within budget, and meet baseline expectations. Uncosted carryovers are minimized.

The weigh of this Measure is 50%.

4.2.3.1 This Performance Measure is for all capital-funded construction projects, excluding Strategic Systems (formerly Major Projects and Major Systems Acquisitions) and EM Projects. It examines the percent of capital funds obligated and costed per fiscal year, the percent of projects on schedule and the number of capital construction projects with scope completed within the Total Estimated Cost (TEC). The formula for calculating the performance indicator is:

PROJECT RATING (PM):

$$(PM) = 0.2 (a^1 + a^2) + 0.2 (b^1 + b^2) + 0.2 (c)$$

FY00 Performance Measure

(PM) =	less than	0.60	unsatisfactory	
	0.60	to	0.69	marginal
	0.70	to	0.79	good
	0.80	to	0.89	excellent
	0.90	to	1.00	outstanding

4.2.3.1.1 Funds Committed:

The weight of this element is 20%

$$(a^1) = \frac{\text{Actual Funds Committed}}{\text{Total Planned Funds Committed}}$$

Description of Proposed Method

$$\frac{\text{Actual Present Year Funds [Line Item + GPP/IHEM] Committed}}{\text{Total Planned [Line Item + GPP/IHEM] Committed}}$$

Notes

- Measure funds commitment performance only for funds received in the fiscal year being measured.
- Measure will not consider funds received late in fiscal year -- only funds received in financial plan during first quarter will be used in calculation.
- Total planned funds committed excludes planned contingency funds (usually about 12%).
- Only planned (requested) project funds will be included.
- Funds committed (obligated) will continue to be measured when contracts and PO's are "pinned", as reflected in the B&E Report.

4.2.3.1.2 Funds Costed:

The weight of this element is 20%.

$$(a^2) = \frac{\text{Actual Funds Costed}}{\text{Total Planned Funds Costed}}$$

Description of Proposed Method

$$\frac{\text{Actual Present Year Funds [Line Item + GPP/IHEM] Costed}}{\text{Total Planned [Line Item + GPP/IHEM] Costed}}$$

Notes:

- Measure funds costed performance for funds received in fiscal year being measured.
- Measure will not consider funds received late in fiscal year -- only funds received in financial plan during first quarter will be used in calculation.
- Only planned (requested) project funds will be included.

4.2.3.1.3 Project Schedule Compliance (GPP and IHEM)

The weight of this element is 20%.

$$(b^1) = \frac{\text{No. of GPP/IHEMs Completed on Schedule}}{\text{No. of GPP/IHEMs Scheduled to Complete}}$$

Description of Proposed Method:

1. BNL and DOE agree on actual completion milestone dates and document and track them in the Plant Engineering Monthly Project Report.
2. List all GPP and IHEM projects with TEC >\$300K and completion milestones falling in current fiscal year.
3. Determine how many were completed on-time using construction “substantially complete” as complete.
4. “Substantially complete” means project is ready for beneficial occupancy or use, as described in the Project Management Control System.

Notes

- a. GPP and IHEM project schedules will be established in cooperation with BHG in continuation of current approval process.

4.2.3.1.4 Project Schedule Compliance (Line Item)

The weight of this element is 20%.

$$(b^2) = \frac{\text{No. of Line Item Milestones}^{(1)} \text{ Completed on schedule}}{\text{No. of Line Item Milestones}^{(1)}}$$

<sup>(1)</sup> Key controlled Milestones

Description of Proposed Method

1. BNL and DOE agree on actual baseline completion milestone dates and document and track them in the Plant Engineering Monthly Report.
2. List all Line Item projects with key controlled milestones falling in the current fiscal year.
3. Determine current year milestones completed on or ahead of schedule.

Notes

1. Key controlled milestones are those described in the approved Project Management Plan:
  - Design Start
  - Design Complete
  - Construction Start
  - Construction Complete
2. Construction complete is defined as “substantially complete.”
3. “Substantially complete” means project is ready for beneficial occupancy or use, as described in the Project Management Control System.



#### 4.2.3.1.5 Scope Completed Within Approved Baseline

(LINE ITEM, GPP AND IHEM [>300K])

$$(c) = \frac{\text{Projects completed within Approved Baseline}}{\text{Total Projects Complete}}$$

The weight for this element is 20%.

##### Description of Proposed Method

1. Review Line Item, GPP and IHEM (>\$300K TEC) projects completed through the fiscal year.
2. Upon project completion, determine whether project baseline scope was completed within the approved baseline Total Estimated Cost (TEC).
3. Determine the total number of Line Item, GPP and IHEM (>\$300K TEC) projects completed within approved baseline (approved original project and approved baseline change proposals)
4. Determine total number of projects completed.
5. Calculate:

$$(c) = \frac{\text{Projects Completed within Approved Baseline}}{\text{Projects Completed}}$$

##### Notes

- a. Justifiable BCPs will be approved by DOE-BHG for legitimate scope changes or reductions (i.e., due to program changes, reasonable unforeseen project conditions, new regulatory requirements, etc.)
- b. Plant Engineering is not currently managing any projects classified as "Strategic Systems" under LCAM (formerly Major Projects and Major System Acquisitions). Presently, the RHIC Project is the only such project at BNL.

### **4.3 Environmental Stewardship**

BNL will become an exemplary environmental steward through efficient and effective waste management and by achieving the aggressive cleanup goals contained in DOE's "Paths to Closure" for BNL in advance of 2006, in a manner that engages stakeholders in planning and implementation of the cleanup process.

The weight of this Objective is 40%.

#### **4.3.1 Restoration Program - Total Project Cost Reduction.**

The weight of this measure is 40%

Reduce the Total Project Costs for the Environmental Restoration program through value engineering, optimized work sequences, and enhanced contracting strategies. The Laboratory will be innovative in its approaches to propose and implement cost reductions and/or schedule accelerations. The Laboratory, its employees, and its subcontractors fully endorse the concept of near-term program completion.

Performance Measure:

Formal reductions to Total Project Costs (TPC) for the BNL Environmental Restoration program. The TPC as of 9/30/00 is compared to the TPC from the conclusion of previous fiscal year (9/30/99). Changes to TPC are formally recognized through DOE's Baseline Change Control processes and procedures.

Performance Level	Metrics
Outstanding	Reduce TPC \$25M or more
Excellent	Reduce TPC \$20-25M
Good	Reduce TPC \$10-20M
Marginal	Reduce TPC \$0-10M
Unsatisfactory	Increase TPC

Assumptions:

- TPC is the contractor's planned baseline cost for the Environmental Restoration Program including approved contingency<sup>1</sup>. The program is recognized as the EM baseline, scheduled for completion by FY 2006. Long-term monitoring costs beyond FY 2006 are not to be considered in this measure. The DOE and the Laboratory maintain the BNL TPC through formal change control processes and procedures. As such, BSA formally records DOE approved changes to the TPC in the Laboratory's monthly project reports. Only Baseline Change Proposals (BCPs), submitted by the Laboratory prior to 9/30/00 and approved by DOE can be considered for this measure<sup>2</sup>.
- For purposes of FY 2000 performance assessment, any "new" EM scope, formally adopted by DOE-CH into the project baselines during FY 2000, will not be considered in assessing the above expectation. For example, DOE-CH acceptance of new scope which was not even indirectly addressed by the Laboratory in developing its risk based contingency will not offset proposed baseline cost reductions. Examples would be the adoption of surplus facilities (Bldgs. 650 or 811), newly accepted waste inventories, and the A/B Waste Lines which DOE expects to formally accept into the BNL EM program through a future Baseline Change Control Board (BCCB) action. It is further noted that the Laboratory has not yet submitted a performance baseline for the BGRR D&D project for DOE-CH approval. Consequently, for evaluating this measure, the current TPC for the BGRR D&D is \$43.3M.

#### 4.3.2 Environmental Management Program Schedule Performance.

The weight of this Measure is 30%.

<sup>1</sup> Total Project Costs for BNL is currently \$329.4M (09/01/99). This amount represents the currently approved baseline estimated, including prior year costs (pre-FY 1999) of \$133M. TPC is further defined as:

$$\text{TPC} = \text{Project Baseline Costs} + \text{Contingency}$$

<sup>2</sup> All BCPs submitted by BSA for consideration must meet a set of quality criteria, as specified in separate memorandum. Additionally, DOE must disposition all BCPs within 30 days of receiving a quality BCP from the Laboratory. The Laboratory will automatically receive credit for any proposed TPC reductions not properly dispositioned by DOE within this timeframe.

Achieve or accelerate specific milestones in accordance with approved program baselines. Contractor and its employees value commitments and demonstrate clear ownership for achieving results through clear leadership, early identification of problem areas, and application of effective corrective measures. Early schedule completions are desired which do not result in negative impacts to overall program costs or schedules.

**Performance Measure:**

Assessment of schedule performance against baseline target dates. Contract Critical Milestones are key to achieving overall EM mission success. These milestones are negotiated between DOE and the contractor annually from the existing program baselines. Evaluating actual completion dates against baseline dates assesses contractor performance for this measure. Completion criteria for each milestone have been included within the list of FY2000 Contract Critical EM Milestones (Enclosure A) to facilitate a common understanding between DOE and BSA.

Performance is assessed against the ratings and metrics shown in below:

**Measure for EM Schedule Performance.**

Performance Level	Performance Metrics
Outstanding	BSA achieves 100% of all FY 2000 Contract Critical Milestones within schedule and accelerates 5 FY 2001 milestones
Excellent	BSA achieves 100% of all FY 2000 Contract Critical Milestones within schedule and accelerates 3 FY 2001 milestones
Good	BSA achieves 100% of all FY 2000 Contract Critical Milestones within schedule
Unsatisfactory	BSA achieves less than 100% of all FY 2000 Contract Critical Milestones within schedule

**Assumptions:**

- All FY 2000 Contract Critical Milestones reflect currently approved baseline targets. (NOTE: DOE anticipates receiving and approving a BCP shortly after the beginning of FY 2000 to recognize the integration of BGRR into the site's program baseline as well as the acceptance of the FY 2000 CYWP. The enclosed milestones support the intent of the anticipated BCP. As DOE-CH approves BCPs, these milestone dates will be adjusted accordingly for purposes of evaluating performance.
- BSA may request schedule extensions with documented justification. DOE will give reasonable consideration to such requests and has the authority to grant or reject them.
- Finally, BSA may propose to substitute FY 2000 and FY 2001 milestones. DOE will give reasonable consideration to such requests and has the authority to grant or reject them.

In addition, nine post-FY-2000 Acceleration Milestones are identified in Enclosure B. Acceleration and completion of post-FY 2000 milestones during FY 2000 will allow the Contractor to achieve an "**Outstanding**" or "**Excellent**" rating. Additionally, such milestones accelerated and completed can also be substituted by the Contractor for missed FY 2000 milestones in a "two for one" ratio with the exception of DOE-signed Record of Decision (ROD) submittals for Operable Units V and VI.

#### 4.3.3 Effective and Efficient Waste Management.

The weight of this Measure is 25%.

Ensure that wastes derived from current Laboratory activities are managed properly to ensure regulatory compliance and cost efficiency. Laboratory institutionalizes processes which estimate planned waste generation, consider waste reduction options, formulate cost effective treatment/disposition approaches, and confirm available funding prior to the initiation of the activity of the waste producing activity. The contractor does not generate any waste that can not be properly disposed of within 12 months.

Performance Measure:

BSA disposes all waste within 12 months of acceptance by the Laboratory's Waste Management Division and as recorded in the BSA waste tracking database. Tracking and trending of this metric will be based upon a 12-month rolling calendar of waste receipt, as reported in this database. FY 2000 performance levels and metrics for "Current Waste Management" activities are as follows:

Performance Level	Performance Metric
Outstanding	Lab disposes of 100% of each waste stream within 12 months and volumes reduces more than 85% LLW compactable solids
Excellent	Lab disposes of 100% of each waste stream within 12 months and volumes reduces more than 80% LLW compactable solids
Good	Lab disposes of 100% of each waste stream within 12 months and volumes reduces more than 70% LLW compactable solids
Marginal	Lab disposes of 100% of each waste stream disposed of within 12 months and volumes reduces less than 70% LLW compactable solids
Unsatisfactory	Lab disposes of less than 100% of each waste stream within 12 months and/or volumes reduces less than 70% LLW compactable solids

Assumptions:

- New waste streams generated after 9/30/99 without a disposition pathway will be tracked and reported for FY 2000. Waste streams generated after 7/09/00 without a planned disposition pathway or a DOE approved exception through an implementation of a DOE O 435.1 corrective action plan will automatically result in a "**Marginal**" or "**Unsatisfactory**" rating for this measure.
- On 9/30/99, a list will be submitted to BHG of any inventory > 12 months old. All waste >12 months old having disposition pathways shall be properly dispositioned in FY 2000. If this waste is not properly dispositioned or a DOE exception has not been approved BSA will automatically receive a "**Marginal**" or "**Unsatisfactory**" rating for this measure. BSA could request an exception in the case of an unforeseen or unintentional generation of waste (e.g. that involving a spill or accidental release). Also any situation that would constitute a Force Majeure which prevents BSA from dispositioning its waste in accordance with the metrics stated above would be grounds for requesting an exception from DOE. An example of such a situation would be the closure of an existing disposal site (e.g. Envirocare or Hanford) for reasons that were outside BSA's control. DOE will give every consideration to approve such a request or provide written documentation, which explains its denial.
- Waste at the HWMF or transferred from the HWMF is considered "legacy" and will not be considered within this measure.

#### 4.3.4 Disposition of Site-Wide Excess Materials.

The weight of this Measure is 5%.

Excess Material inventories are completely identified, characterization plans are approved, treatment/disposal options are considered, priorities are established, funding is allocated, and inventories are reduced or eliminated. Contractor and its employees display ownership and leadership toward eliminating excess materials at the site. Contractor is a driving force and a willing partner in resolving funding matters with DOE.

Performance Measure:

Contractor reduces or eliminates high priority excess materials inventories during FY 2000. For purposes of this measure "reduction" is recognized to include the reuse, recycle, or disposal of such materials. Waste inventories on 09/30/99 are compared to inventories on 09/30/00. Performance is assessed against the target reductions shown immediately below:

Site Wide Excess Material Disposition Goals.

<u>Excess Material Inventories</u>	<u>Targeted Reductions</u>
Lead Brick / Shielding	100 tons
Elimination of excess chemicals	1,000 gallons
Scrap Steel: Scrap Aluminum: Scrap Copper:	100 tons 20 tons 10 tons

Assumptions:

- DOE recognizes that the funding to support the disposition of excess materials has historically been scarce.
- To further promote DOE's environmental stewardship at the BNL site, the Environmental Management program authorizes that up to 50% of all annual cost savings generated by BSA in redefining the EM clean-up program may be applied to the disposition of excess materials. Such expenditure of EM funds shall only be available in a matching manner with funds identified by BSA from indirect cost allocations (i.e. BNL site risk prioritization system).

$$\text{Target Reduction Ratio} = \frac{\text{Actual Reduction}}{\text{Target Reduction}} \times 100$$

Performance Level	Target Reduction Ratio
Outstanding	Greater than 105%
Excellent	95 – 105 %
Good	85 – 95%
Marginal	75 – 85%
Unsatisfactory	Less than 75%

Note: BSA's performance rating is based upon a ratio for each excess item, which recognizes actual results in comparison to targeted results, as shown above. An overall weighted ratio for the entire measure will be computed using weights of Lead (35%), Chemicals (35%), and Scrap (30%) multiplied by the reduction ratio of the individual excess material categories.

#### 4.4 Business Operations

BNL will conduct its business operations with distinction, fully integrated with and supportive of the science, technology and cleanup missions, while being fully responsive to the business management needs and expectations of DOE.

The weight of this Objective is 20% of total.

##### 4.4.1 Business Management/Information Systems

Improve enterprise-wide business management systems in support of world-class research at Brookhaven National Laboratory to provide consistent, cost-effective, and efficient means of managing the business functions of the Laboratory and provide records of the Laboratory's business/financial transactions for use as a basis for decisions regarding the improvement and enhancement of business operations.

The weight of this Measure is 25%.

Measure: Install Enterprise Resource Planning (ERP) System (PeopleSoft)

1. **Accounts Receivable** – This module is utilized to generate monthly billings, age receivables, provide information to facilitate collections, smoothly integrate with the General Ledger/Project Costing Modules, and provide greater flexibility to comply with DOE and other funding agency (e.g. NRC) reporting requirements. The legacy Accounts Receivable does not meet the Laboratory's current or projected needs.

The milestone dates for this module are as follows:

New system implementation - **October 1999** for the start of the new fiscal year.

Initiate a feedback/change control process to further enhance effectiveness and meet customer needs – **January 2000**.

2. **Guest Tracking** - Capture and track Guest and Users for major facilities (RHIC, AGS, etc.) Scheduled implementation date - **January 2000**. Initiate a feedback/change control process to further enhance effectiveness and meet customer needs – **April 2000**
3. **Inventory** – The current Inventory system is outdated and like other parts of BNL's legacy **2000**. Initiate a feedback/change control process to further enhance effectiveness and meet system IPAP, in need of upgrading. The planned implementation date is scheduled for **April** customer needs – **June 2000**.

4. **HR** - The current HR system is a modified vendor software package no longer supported. By proceeding with the Guest Tracking module, the HR application can be scheduled to coincide with the beginning of the Benefits and Payroll parallel test period. This application's planned implementation date is **July 2000**. Initiate a feedback/change control process to further enhance effectiveness and meet customer needs – **September 2000**.

Metric: The FY00 deliverables focus on developing and implementing the above modules as well as initiating a feedback/change control process to further enhance their effectiveness and meet customer needs. Meeting the project milestones above will be considered Excellent performance, and bettering a milestone by 30 days or more will compromise Outstanding performance for that milestone. Missing a milestone by up to 45 days will be considered Good performance for that milestone, but only if the critical path is not adversely affected. Missing a milestone by more than 45 days will be considered Marginal performance for that milestone and by more than 90 days will be considered Unsatisfactory performance for that milestone.

Each milestone will be awarded points as follows based on accomplishment of that milestone:

Outstanding – 4 points  
Excellent – 3 points  
Good – 2 points  
Marginal – 1 point  
Unsatisfactory – 0 points

The evaluation of the Performance Measure will be the numerical average of the scores of the supporting milestones.

#### 4.4.2 **Process Improvement/Reengineering**

Identify and review key business processes to provide improved customer service in support of the Labor: mission, minimize administrative time and cost and ensure prime contract compliance.

The weight of this Measure is 10%.

Contract Administration:

Improve the Lab-wide contract administration to improve subcontractor performance, and decrease Laboratory risk. Additionally, help ensure that performance and schedule requirements are met and payments are made in accordance with each contract's terms and conditions.

Scoring for this Measure: Total = .5(4.4.2.1) + .5(4.4.2.2)

- 4.4.2.1 Measure: Define and implement a policy, which ensures that technical representatives on contracts have properly defined scopes of authority and accountability and are appropriately trained – 09/30/00.
- 4.4.2.2 Measure: Define and implement a policy which includes DCP buyer/Contract specialist involvement in the contract administration process – 09/30/00.

Metrics

Outstanding – Accomplished by 06/30/00  
Excellent – Accomplished by 07/31/00

Good – Accomplished by 09/30/00  
Unsatisfactory – Failure to meet 09/30/00

BHG must agree on the effectiveness of these policies for BNL to receive credit.

#### **4.4.3 Business Infrastructure Objectives**

The weight of the Measure is 30%.

Metric for all of the following measures is as follows:

The FY00 ITD deliverables largely focus on developing the institutional-level operating infrastructure needed to underpin an excellent business/information technology infrastructure. Meeting the project milestones above will be considered Excellent performance, and bettering a milestone by 30 days or more will comprise Outstanding performance for that milestone. Missing a milestone by 45 days will be considered Good performance for that milestone, but only if the critical path is not adversely affected. Missing a milestone by 45 days will be considered Marginal performance for that milestone, and by more than 90 days will be considered Unsatisfactory performance for that milestone.

Each milestone will be awarded points as follows based on the accomplishment of that milestone:

Outstanding – 4 points  
Excellent – 3 points  
Good – 2 points  
Marginal – 1 points  
Unsatisfactory – 0 points

The evaluation of the Performance Measure will be the numerical average of the scores of the supporting milestones.

##### **4.4.3.1 Establish a scientific computing infrastructure that is fully supportive of Brookhaven's scientific mission.**

The weight of this element is 50%.

Provide state-of-the-art scientific computing hardware and software to BNL User community.

###### **Performance Measure Milestones**

1. Quantify unmet needs by 1/31/00.
2. Research the field for appropriate products by 3/31/00.
3. Develop proposal by 5/31/00.
4. Acquisition cycle resulting in delivery/acceptance by 9/31/00.

##### **4.4.3.2 Significantly Upgrade the Business Infrastructure to ensure effective information sharing and communications.**

The weight of this element is 50%.

Identify the best source for each IT service in terms of efficiency quality, customer satisfaction, and cost-effectiveness.

###### **Performance Measure Milestones**



1. Establish service model and specifications by 10/31/99.
2. Quantify phase 1 transition, consisting of administrative unit desktops by 11/30/99.
3. Investigate outsource and in-house solutions, compare, and select by 2/28/00.
4. Commence phase 2 transition, including scientific unit desktops by 5/31/00.

#### **4.4.4 Computer Security**

Provide a computing and communications environment that is secure, yet open for interaction to effectively conduct the Laboratory's business and science.

The weight of this Measure is 35%.

Establish a comprehensive Computer Security program in line with DOE directives and guidelines.

##### **Performance Measure Milestones**

1. Perform a vulnerability assessment by 10/31/99
2. Identify the tools and techniques that will address security deficiencies in a systematic way by 11/30/99.
3. End of year for implementing #2.
4. Establish a program for performing ongoing reviews of security incursions and acceptable use by 3/31/00

## **Enclosure A FY 2000 Critical EM Milestones**

*Brookhaven Graphite Research Reactor Decommissioning Project:*

**WBS: 17.7.2.01.1.3**

**Title:** Complete Removal of the Pile Fan Sump (Area of Concern 9D) to DOE

**Date Due:** 3/31/2000

**Type:** IAG Primary Milestone, Facility Completion

**Completion Criteria:** Complete the removal of the Pile Fan Sump (PFS) and submit the draft Completion Report to DOE for submittal to EPA and NYSDEC for review. This report will have been previously reviewed by DOE and will incorporate resolution of comments as agreed to by the DOE BGRR-DP Project Manager. The draft Completion Report will include all final verification sampling results and recommendations for addressing any residual soil contamination related to the PFS that was not addressed by the removal action.

**WBS: 17.7.2.01.1.2**

**Title:** Complete Removal of the Fans from the Fan House

**Date Due:** 01/30/2000

**Type:** DOE-BGRR-PO Control Level (2b)

**Completion Criteria:** Complete the removal of the fans from the fan house and submit the Draft Closeout Report to DOE for review and approval. This report will have been previously reviewed by DOE and will incorporate resolution of comments as agreed to by the DOE BGRR-DP Project Manager. The draft Completion Report will include all final verification sampling results and recommendations for addressing any residual soil contamination related to the PFS that was not addressed by the removal action. Due consideration will be made to recycle and reuse of the metal material in the fans.

**WBS: 17.7.2.01.6.1**

**Title:** Issue the Draft Final Removal Action Alternatives Report to DOE

**Date Due:** 4/13/2000

**Type:**

**Completion Criteria:** Complete the Removal Action Alternatives Report and Issue the Report to DOE for final review and approval. This report will have been previously reviewed by DOE and external stakeholders and will incorporate resolution of comments as agreed to by the DOE BGRR-DP Project Manager.

**WBS: 17.7.2.01.1.4**

**Title:** Submit Draft Completion Report for Above Grade Duct Removal Action to DOE for EPA/DEC review

**Date Due:** 9/28/2000

**Type:**

**Completion Criteria:** Complete the Above Grade Duct Removal Action and issue the Draft Completion Report to DOE for review and approval. The draft Completion Report will include all final verification sampling results and recommendations for addressing any residual soil contamination related to the Above Grade Duct that was not addressed by the removal action. . This report will have been previously reviewed by DOE and will incorporate resolution of comments as agreed to by the DOE BGRR-DP Project Manager.

**Waste Management Program:**

**WBS:**

**Title:** Complete Plan to Implement actions for DOE O 435.1

**Due Date:** 4/30/00

**Type:**

**Completion Criteria:** BNL will have submitted to BHG a plan which includes a description of DOE O 435.1 requirements, actions needed to come into compliance and schedule for completing those actions.

**WBS:**

**Title:** Complete final draft Transition Plan

**Due Date:** 6/30/00

**Type:**

**Completion Criteria:** BNL will have submitted to BHG a Transition Plan which describes how the Waste Management Program will operate under SC including changes in organization and funding strategies.

**WBS:**

**Title:** Complete draft changes to 5820.2a based procedures.

**Due Date:** 9/28/00

**Type:**

**Completion Criteria:** BNL will submit to BHG a letter notifying that the existing procedures have been modified to address the new requirements in DOE O 435.1 and provide a copy of the modified procedures.

**Remedial Activities:**

**WBS:** 17.7.1.01.2.2

**Title:** Submit Draft Operable Unit I Remedial Design Work Plan to DOE for EPA/DEC review

**Due Date:** 7/17/00

**Type:** IAG Primary Milestone

**Completion Criteria:** This milestone will be satisfied by submittal of the draft Remedial Design Work Plan to the EPA and NYSDEC for review by the DOE Brookhaven Group. This Work Plan will be complete, meet EPA and State guidance and also meet the following conditions. This draft Work Plan will contain specific design activities that focus on minimization the amount of soil excavated and ultimately for off-site disposal and a cost effective program for any needed characterization and sampling (including post remediation verification sampling). An internal draft of this Work Plan will have already been provided to DOE for review and comment resolution in sufficient time to meet this milestone. All DOE comments provided on the initial draft will be satisfactorily addressed prior to BNL submittal of the regulatory review copy. It is DOE's expectation that BNL will aggressively facilitate and pursue the timely receipt and resolution of DOE and regulator concerns and feedback on the design of the remediation approach to Operable Unit I prior to submittal of this draft Work Plan. It is also DOE expectation that these comments and concerns will already be incorporated into the draft Work Plan. Note: This is an IAG primary milestone which is not currently scheduled with EPA and NYSDEC. The date is subject to change based on EPA/NYSDEC approval of the final date.

**WBS:** Not available

**Title:** Submit revised DOE-signed Operable Unit VI Record of Decision to EPA

**Due Date:** 1/12/00

**Type:** New milestone

**Completion Criteria:** This milestone will be satisfied with by submittal of the DOE-signed Record of Decision (ROD) to the EPA for signature. It is DOE's expectation that BNL will work aggressively to facilitate resolution of EPA comments on the December 1997 version of the Operable Unit VI ROD and draft Long Term Monitoring Work Plan and other stakeholder's (i.e. NYSDEC and Suffolk County) concerns in order to meet this milestone. Examples of activities that fulfill this expectation include prompt resolution of regulator comments, timely production of high quality documents and reports that are accurate easy to understand and review and that address stakeholder concerns; and scheduling meetings, presentations, briefings, teleconferences, etc. to facilitate resolution of regulator concerns.

**WBS:** 17.7.1.01.3.1.3

**Title:** Complete Bld. 811 UST Removal

**Due Date:** 5/12/00

**Type:** IAG Secondary Document, Release Site Completion

**Completion Criteria:** Complete the Building 811 UST Removal Action and submit the Draft Closeout Report to DOE for submittal to the EPA and NYSDEC for review and approval. The draft Closeout Report will be complete and will include all final verification sampling results and recommendations for addressing any residual soil contamination related to the USTs that was not addressed by the removal action.

**WBS: 17.7.1.01.3.1.3**

**Title:** Complete Disposal of Stockpiles 6B, 10, 12 and 13 at the Chemical Holes Bldg. 811

**Due Date:** **Type:**

**Completion Criteria:** This milestone will be satisfied when off-site disposal of Stockpiles 6B, 10, 12 and 13 at the Chemical Holes has been completed. BNL will provide written confirmation to DOE Brookhaven when this is accomplished.

**WBS: 17.7.1.03**

**Title:** Submit Draft Operable Unit III Remedial Design Work Plan to DOE for EPA/DEC review

**Due Date:** 1/24/2000

**Type:** IAG Primary Milestone

**Completion Criteria:** This milestone will be satisfied by submittal of the draft Remedial Design Work Plan to the EPA and NYSDEC for review by the DOE Brookhaven Group. This Work Plan will be complete, meet EPA and State guidance and also meet the following conditions. This draft Work Plan will contain specific design activities that focus on a comprehensive remediation approach that integrates the various groundwater treatment systems to be designed/constructed. An internal draft of this Work Plan will have already been provided to DOE for review and comment resolution in sufficient time to meet this milestone. All DOE comments provided on the initial draft will be satisfactorily addressed prior to BNL submittal of the regulatory review copy. It is DOE's expectation that BNL will aggressively facilitate and pursue the timely receipt and resolution of DOE and regulator concerns and feedback on the design of the remediation approach prior to submittal of this draft Work Plan. It is also DOE expectation that these comments and concerns will already be incorporated into the draft Work Plan. Note: This is an IAG primary milestone which is not currently scheduled with EPA and NYSDEC. The date is subject to change based on EPA/NYSDEC approval of the final date.

**WBS: 17.7.1.03.3.13**

**Title:** Submit 90 % Design for Middle Road Groundwater Treatment System to DOE

**Due Date:** 5/12/00

**Type:** IAG Secondary Document

**Completion Criteria:** This milestone will be satisfied by submittal of the draft 90 percent design for the Middle Road Treatment system to DOE for submittal to the EPA and NYSDEC for review. This design will meet the following conditions: This draft design will be complete and meet EPA and State requirements. DOE review of the internal draft 90 percent design will have been addressed. EPA and NYSDEC comments on the 30% design will have been addressed to their satisfaction and formal responses to comments will have been provided.

**WBS: 17.7.1.03.13**

**Title:** Complete Construction – Bldg. 96 Groundwater Treatment System

**Due Date:** 5/24/00

**Type:**

**Completion Criteria:** This milestone will be satisfied when construction of the Bldg. 96 Groundwater Treatment System is complete. BNL will provide written confirmation to DOE Brookhaven Group when this is accomplished.

**WBS: 17.7.1.05.1.4.3.2**

**Title:** Submit DOE Signed Operable Unit V ROD with Responsiveness Summary to EPA

**Due Date:** 10/30/99

**Type:** IAG Primary Milestone

**Completion Criteria:** This milestone will be satisfied with by submittal of the DOE-signed Record of Decision (ROD) to the EPA for final signature. It is DOE's expectation that BNL will aggressively facilitate and pursue timely receipt and resolution of DOE and stakeholder (including regulators) concerns and comments on the draft ROD and supporting documentation in order to meet this milestone. All needed New York State reviews will have been completed and State concurrence obtained on this ROD. Examples of activities that fulfill this expectation include sufficient scoping to ensure that DOE and stakeholder concerns are well understood; production of high quality documents, reports and public participation materials that are accurate easy to understand and review and that incorporate stakeholder concerns; and scheduling meetings, presentations, briefings, teleconferences, etc. when needed to facilitate reviews and obtain more timely feedback.

**WBS:** 17.7.1.05.1.4.3.2

**Title:** Submit Draft Operable Unit V Remedial Design Work Plan to DOE for EPA/DEC review

**Due Date:** 11/19/99

**Type:** IAG Primary Milestone

**Completion Criteria:** This milestone will be satisfied by submittal of the draft Remedial Design Work Plan to the U.S. EPA and NYSDEC for review by the DOE Brookhaven Group that meets the following conditions. This draft Work Plan will be complete, meet EPA and State requirements and contain specific design activities that focus on limiting excavation of sediments in the Peconic River and minimizing the cost of waste disposal. An internal draft of this Work Plan will have already been provided to DOE for review and comment resolution in sufficient time to meet the 11/19/99 milestone. All DOE comments provided on the initial draft will be satisfactorily addressed prior to BNL submittal of the regulatory review copy. It is DOE's expectation that BNL will aggressively facilitate and pursue the timely receipt and resolution of DOE and regulator concerns and comments on the design of the remediation approach to Operable Unit V prior to submittal of this draft Work Plan. It is also DOE expectation that these comments and concerns will already be incorporated into the draft Work Plan. . Note: This is an IAG primary milestone which is not currently scheduled with EPA and NYSDEC. The date is subject to change based on EPA/NYSDEC approval of the final date.

**WBS:** 17.7.1.09.1.3.04

**Title:** Submit Draft Calendar Year 1999 Groundwater Monitoring Report to DOE for review

**Due Date:** 06/15/00

**Type:**

**Completion Criteria:** This milestone will be satisfied by submittal of the draft Calendar Year Groundwater Monitoring Report is submitted to DOE for review. This report will be complete, contain all final and validated data planned for the entire BNL monitoring program (i.e. both environmental restoration and facility monitoring), evaluate data trends and make recommendations on any needed changes to the future groundwater monitoring.

#### **Boneyard Waste Project:**

**WBS:** 17.7.4.2

**Title:** Award Issue Contract for Large-Scale Procurement for Boneyard Wastes

**Due Date:** 6/10/2000

**Type:**

**Completion Criteria:** This milestone will be satisfied by the award (i.e. signature by both BNL and subcontractor) of a contract for a Large-Scale Procurement for treatment, transportation and disposal of the remaining wastes in the Boneyard Waste Project.

**WBS:** 17.7.4.2.03

**Title:** Complete Shipment of Resins and Copper

**Due Date:** 9/30/00

**Type:**

**Completion Criteria:** This milestone will be completed when the Resins and Copper are shipped off-site for final treatment and disposal. BNL will provide written confirmation to DOE Brookhaven when this is accomplished.

**WBS:** 17.7.4.0.05

**Title:** Complete Shipment of Major Metal Pieces

**Due Date:** 9/30/00

**Type:**

**Completion Criteria:** This milestone will be completed when the Major Metal Pieces are shipped off-site for final disposal. BNL will provide written confirmation to DOE Brookhaven Group when this occurs.

**WBS:** 17.7.4.2.06

**Title:** Complete Shipment of Steel

**Due Date:** 9/30/00

**Type:**

**Completion Criteria:** This milestone will be completed when the Steel are shipped off-site for final disposal. BNL will provide written confirmation to DOE Brookhaven Group when this occurs.

**Technology Deployment and Development:**

**WBS:**

**Title:** Complete Two new EM-50 Technology Deployments

**Due Date:** 9/30/00

**Type:**

**Completion Criteria:** This milestone will be satisfied by the deployment of two EM-50 developed technologies at BNL (or on BNL problems) by 9/30/00. Current candidates are the viscous liquid barrier demonstration, the Segmented Gate System and the SPSS deployment using Chemical Holes Soils to Envirocare. Technologies that are to be deployed as part of the two existing BNL ASTD projects are not allowed for this milestone.

## Enclosure B

### Post-FY 2000 Acceleration Milestones

**WBS:** 17.7.1.01.2.2

**Title:** Submit final Operable Unit I Soils Design to DOE (for submittal to EPA/DEC)

**Due Date:** 3/6/01

**Type:** IAG

**Completion Criteria:** : This milestone will be satisfied by submittal of the final Operable Unit I Design for Radiologically Contaminated Soils to the EPA and NYSDEC for review by the DOE Brookhaven Group. This Design will be complete, meet EPA and State guidance and also meet the following conditions. This Design will contain specific activities that focus on minimization the amount of soil excavated and ultimately for off-site disposal and a cost effective program for any needed characterization and sampling (including post remediation verification sampling). An internal draft of this final Design will have already been provided to DOE for review and comment resolution in sufficient time to meet this milestone. All DOE comments provided on the initial draft will be satisfactorily addressed prior to BNL submittal of the regulatory review copy. All regulatory agency (EPA, NYSDEC and SCDHS) comments provided on the draft 30 percent design will be incorporated into this design to their satisfaction and responses to comments will have been provided. It is DOE's expectation that BNL will aggressively pursue and resolve DOE and regulatory agency comments on the 30 percent design prior to submittal of the version of the Design. Note: This is an IAG primary milestone which is not currently scheduled with EPA and NYSDEC. The date is subject to change based on EPA/NYSDEC approval of the final date.

**WBS:** 17.7.1.01.3.4 (O10358)

**Title:** Submit (draft) HWMF Completion Report to DOE (for submittal to EPA/DEC)

**Due Date:** 3/19/01

**Type:**

**Completion Criteria:** This milestone will be satisfied by submittal of the Draft Completion Report for the D&D of the former HWMF to EPA/DEC by the DOE Brookhaven Group for concurrent DOE/EPA/DEC review. This draft Completion Report will be complete and will contain all required final verification sampling results and planned disposal pathways for the wastes generated during the D&D. Included will be a discussion of proposed activities that focus on cost effective waste minimization.

**WBS:** 17.7.1.03.3.11 (03M0545)

**Title:** Initiate Middle Road Treatment System Startup Testing

**Due Date:** 2/21/01

**Type:**

**Completion Criteria:** This milestone will be satisfied when construction of the Middle Road System is completed and the system is turned on for the initiation of startup testing.

**WBS:** 17.7.1.03.3.02

**Title:** Submit 30 % Design for Airport System to DOE

**Due Date:** 12/20/00

**Type:** IAG Secondary Document

**Completion Criteria:** This milestone will be satisfied by submittal of the draft 30 percent design for the Airport to DOE for review. This design will meet the following conditions: This draft design will be complete and meet EPA and State requirements.

**WBS:** 17.7.1.03.3.12 (O3N0460)

**Title:** Submit 30% Design on North Street System to DOE

**Due Date:** 12/31/01

**Type:** IAG Secondary Milestone

**Completion Criteria:** This milestone will be satisfied by submittal of the draft 30 percent design for the North Street Treatment system to DOE for submittal to the EPA and NYSDEC for review. This design will meet the

following conditions: This draft design will be complete and meet EPA and State requirements. DOE review of the internal draft 30 percent design will have been addressed.

**WBS:** 17.7.1.08.5.02 (RM0386G)

**Title:** Initiate Preliminary Testing (Startup) at North Street East System

**Due Date:** 1/29/01

**Type:**

**Completion Criteria:** This milestone will be satisfied when construction of the North Street East System is completed and the system is turned on for the initiation of startup testing.

**WBS:** 17.7.1.05.3 (O50363)

**Title:** Submit OU V (draft) RA Work Plan to DOE (for submittal to EPA/DEC)

**Due Date:** 6/10/02

**Type:** IAG Primary Milestone

**Completion Criteria:** This milestone will be satisfied by submittal of a draft Remedial Action Work Plan to the U.S. EPA and NYSDEC for review by the DOE Brookhaven Group that meets the following conditions. This draft Work Plan will be complete, contain the final Design, meet EPA and State requirements and contain specific activities that focus on limiting excavation of sediments in the Peconic River and minimizing the cost of waste disposal. An internal draft of this Work Plan will have already been provided to DOE for review and comment resolution in sufficient time to meet this milestone. All DOE comments provided on the initial draft will be satisfactorily addressed prior to BNL submittal of the regulatory review copy. It is DOE's expectation that BNL will aggressively facilitate and pursue the timely receipt and resolution of DOE and regulator concerns and comments on the design and remediation approach to Operable Unit V prior to submittal of this draft Work Plan. It is also DOE expectation that these comments and concerns will already be incorporated into the draft Work Plan. . Note: This is an IAG primary milestone which is not currently schedule with EPA and NYSDEC. The date is subject to change based on EPA/NYSDEC approval of the final date.

**WBS:** N/A

**Title:** Draft EE/CA for Canal House Removal to DOE

**Due Date:** 11/01/00

**Type:**

**Completion Criteria:** This milestone is satisfied by submittal of the draft EE/CA for the Canal House Removal to DOE for review.

**WBS:** N/A

**Title:** Draft Below Grade Piping and Soils Completion Report to DOE

**Due Date:** 11/01/00

**Type:**

**Completion Criteria:** This milestone is satisfied by completion the required activities for the Below Grade Piping and Soils and submittal of the draft Completion Report to DOE for review. The draft Completion Report will verify that all needed response actions have been completed and include all final verification sampling results.







### **Excellence Indicators for FY ES&H Off-ramp**

As described in Article 12A, Off-ramp, the Contractor will be evaluated by DOE thirty-three months after the effective date in accordance with the following measures.

**Measure 1: Average Number of Facility Walk-throughs Per Senior Manager Per Year**

**Objective:** Accountability of managers for issue identification and resolution creating correlation between number of senior management walk-throughs and (1) improved awareness of ES&H conditions; (2) expanded training of senior managers in ES&H self-audit techniques; and (3) increased management involvement in assuring timely and appropriate remediation.

**Requirements Basis:** None

**Data Source:** Contractor records

**Definitions:** For the purposes of this indicator, a "senior manager" is the Laboratory, Deputy Director, Assistant and Associate Directors, Division Directors, and Facility or Project Managers. A walk-through is any facility or activity visit or tour made by a senior manager with the specific intent of monitoring or improving safety and/or quality performance.

**Excellence Indicators:**

FY99:	8/YEAR/SENIOR MANAGER AVERAGE
FY00:	12/YEAR/SENIOR MANAGER AVERAGE and NOT LESS THAN 6 PER MANAGER

**Measure 2:                   Lost Workday Case Rate**

Objective:                   Determine the overall effectiveness of DOE worker Occupational Safety and Health Programs

Requirement Basis:       DOE O 231.1

Data Source:               CAIRS

Definitions:               Number of lost workday cases in which the employee suffered a work related injury or illness that involves days away from work or days of restricted work activity, or both (Per 200,000 hours worked)

Excellence Indicators:

FY99:   BELOW DOE AVERAGE

FY00:   BELOW DOE RESEARCH LABORATORY AVERAGE

**Measure 3: Environmental Index**

**Objective:** Reduction in site emissions by complying with all applicable environmental regulations and plans, implementing pollution prevention projects, conducting process waste assessments, and improving the way hazardous materials are handled.

**Requirements Basis:** DOE O 232.1; Secretarial policy letter

**Data Sources:** Site Environmental Report, NESHAPs Air Emissions Report, SARA Title III Reports, Storage Tank Inventory, Report on Waste Generation and Minimization, IAG Administrative Record.

**Definition:** Index = sum of normalized weighted environmental emissions attributes (i.e., Sum (RV x NF x WF), where RV = raw value; NF = normalization factor; and WF = weighting factor.) Normalization factors established using FY95 data (see Environmental Index Baseline, attached) such that FY95 Environmental Index = 100.

**Notes:** This measure was the 2X indicator for ES&H in the FY96 BHG Business Plan. The measure is a composite of important environmental attributes at BNL, which represent both controlled and uncontrolled emissions. Divisor assures that HFBR shutdown does not account for reduction.

**Excellence Indicators:**  
FY99: 25% REDUCTION FROM FY95 INDEX  
FY00: 50% REDUCTION FROM FY95 INDEX

### ENVIRONMENTAL INDEX – BASELINE

Environmental Attribute	1995 Raw Value	Normalization Factor	Weighting Factor	Index
		(1/Raw Value)		$(RV \times NF \times WF)$
1995 Max. Offsite Eff. Dose Equi. em)	0.38	2.63E+00	10	10
Tritium to Peconic River (mCi)	2713	3.69E-04	8	8
Tritium to Air Emissions (Ci)	104.8	9.54E-03	9	9
1995 Hazardous Waste Disposed	79	1.27E-02	6	6
1995 Radioactive Waste Disposed	15745	6.35E-05	6	6
1995 Mixed Waste Disposed	106	9.43E-03	6	6
1995 SARA Title III Emissions (lbs)	2484	4.03E-04	6	6
SPDES permit Excursions (#)	11	9.09E-02	8	8
Sub-standard Storage Tanks (# est.)	15	6.67E-02	10	10
Significant Spills (#>50 gal.)	3	3.33E-01	9	9
Restoration Remedies Selected (1/#)	0.2	5.00E+00	10	10
Paper Recycled (1/tons)	0.003627	2.76E+02	6	6
Solid (non-hazardous) Waste Generated (tons)	694	1.44E-03	6	6
			100	100
Operations Factor				1
Environmental Index				100
Data Source:				
1995 Site Environmental Report				
1995 Site Wide Air Emissions Report				
1995 SARA Title III Reports				
Storage Tank Inventory				
1995 Rpt. On Waste Gen. And Minimization				
IAG Administrative Record (RODs and Action Memoranda)				

## **OTHER CONTRACT EXPECTATIONS**

### **Communications and Trust**

#### **National Recognition**

The Laboratory shall generate in agreement with the DOE, national recognition for major BNL accomplishments during FY00. Reviewers shall evaluate the selection process, and the efficiency, effectiveness, and completeness of the coverage generated. The RHIC program will initially be the primary focus of this measure.

#### **Ambassador Program**

The Laboratory conducted four pilot programs as part of the Ambassador Program in FY99 in order to gain insight into what might be the most effective design for an ongoing program. The pilots were: a) a Science Fair Help Day, b) a public TV pledge drive, c) a beach cleanup project, and d) the preservation of an historic schoolhouse. For FY00 the Laboratory will direct its Ambassador efforts toward projects, which promote science education and provide opportunities for Laboratory employees to engage in community outreach and interact face-to-face with the public.

- Initiate Boy Scout Atomic Energy Merit Badge Program.

BNL is uniquely qualified to provide a safe and knowledgeable environment where all the elements of the Boy Scout Atomic Energy badge can be fulfilled. The program would identify and train five BNL employees as merit badge signers for the Boy Scouts of America. Volunteers will guide the scouts through the necessary steps to completing the Merit Badge and sign off on their completion.

- Introduce Radiation and You Program.

Radiation and You is a program which introduces the concept of radiation as an everyday part of our lives by looking at common natural and man-made sources of radiation. The ALARA concept is explained via the use of hands-on devices, e.g. the students use Geiger counters to measure radiation in every day items. The program will join BNL volunteer scientists with the educational community and students during visits to their schools. Each volunteer scientist will visit two schools a year for this person-to-person community interaction.

- Establish a BNL Scientist Help Line program.

This program will help place the expertise of highly qualified volunteer scientists at the disposal of the community at large. Ten volunteer scientists in different scientific departments will respond to science questions sent to a BNL e-mail address. The Ambassador Program coordinator will, in conjunction with the Office of Educational Programs, direct the question(s) to the appropriate volunteer scientist for a response. Checking the reply time will be the responsibility of the coordinator. The e-mail network will require the support of line management as well as volunteer researchers. The e-mail address will be made available to schools, libraries and newspapers and distributed in priority areas through mailings, a notice on the web site and various public media.

#### **Envoy Program**

The Envoy program has increased participation by nearly 100% during FY99 (total is now about 40). Many of the new Envoys were recruited during the summer and will receive initial training beginning in September. Their initial participation as Envoys will commence the beginning of FY00. Program enrichment, rather than pursuit of quantitative increases in the number of participants, will be the goal for FY00. The Laboratory will focus its resources on

careful nurturing of this rapidly expanded program and ramping up the qualitative contributions of participants.

### **Community Asset**

The Laboratory will be recognized as a community asset by providing community educational programs for teachers and students and opportunities for the public to visit the Laboratory. A key element of this is the Laboratory's On-site Visitors Program. This program is designed to attract substantial numbers of participants from the educational, business and related sectors to visit BNL, tour and/or use various BNL facilities, and become comfortable and familiar with the capabilities, operations, and benefits afforded to the community by the Laboratory. Three very different and very large and/or significant programs will be reviewed as surrogates for the quality of the community asset initiative. These are: The Summer Sunday program, the Student Visitor program, and the Science Contests program.

- The Summer Sunday program is a public open-house-type program operated on eight successive weekends.
- The Student Visitor program measures educational usage (students and teachers) over the course of approximately 120 school days.
- The Science Fair program measures participation in an intense, one-day contest by highly motivated, science-oriented teams.

The FY00 attendance goal for these programs is a 10% increase in aggregate over that achieved in FY99.

The Laboratory will gather feedback from participants in these programs during FY00 and evaluate this data against similar feedback gathered in FY99. Reviewers will consider this feedback in evaluating the effectiveness and completeness of these programs.

### **Environment, Safety and Health Excellence**

#### **Occupational Safety and Health**

BNL will seek to achieve excellence in worker safety and health protection.

In the area of Occupational Safety and Health BNL will seek to improve the following reportable rates:

Total Recordable Case Rate (OSHA Recordables) RCR  
Lost Workday Case Rate (LWCR)  
Days Away from Work Rate (DAWR)

Where:

$$\text{RCR per 100 FTEs} = \frac{\text{Number of OSHA reportable injuries/illnesses} \times 200,000}{\text{Total Hours Worked}}$$

$$\text{LWCR per 100 FTEs} = \frac{\text{Number of Lost Workday Cases} \times 200,000}{\text{Total Hours Worked}}$$

$$\text{DAWR per 100 FTEs} = \frac{\text{Actual Number of Days Away From Work} \times 200,000}{\text{Total Hours Worked}}$$

The following Table reflects expectations in these areas.

	Outstanding	Excellent	Good	Marginal	Unsatisfactory
	<30% of	<15% to 30%	+/-15% of	>15% to 30%	>30% of Mean



	Mean	of Mean	Mean	of Mean	
RCR	<3.15	3.15 to 3.83	4.5 *	5.17 to 5.85	>5.85
DAWR	<26	26. to 31.54	37.1 **	42.66 to 48.2	>48.2
	<50% of Mean	25 to 50% of Mean	+/- 25% of Mean	>25-50% of Mean	>50% of Mean
LWCR ***	<1.45	1.45 to 2.18	2.9 *	3.62 to 4.35	>4.35

\* Historical Averages 1993 – 1997 from the CAIRS Data Base (CY)

\*\* Historical Average 1995 – 1998 from BNL Data (Not a CAIRS reportable item) (FY)

\*\*\* Percentages changed for LWCR to coincide with the established “off ramp” provisions in Appendix B.

In the area of Chemical Safety Performance BNL will seek to ensure that chemical containers are properly inventoried.

The approach used will be to:

- Survey all containers in five rooms – (Use lottery to select departments/divisions/rooms).
- Survey will be limited to rooms with more than 50 chemical containers. If the room contains more than 400 containers, the room will count as two rooms.
- BNL and BHG would jointly participate in the compilation and evaluation of this data and establishment of the performance metrics.
- The field verification would be unannounced

The following Table reflects expectation in this area where the composite score is determined by 70% of the percentage of containers with barcodes plus 30% of the percentage of bar coded containers assigned to the correct owners (current staff or visitors at the time of field verification).

**Composite Score**

Outstanding	> 0.9
Excellent	> 0.75 to 0.9
Good	> 0.65 to 0.75
Marginal	> 0.5 to 0.65
Unsatisfactory	=/< 0.5

Also in the area of chemical safety performance BNL will seek to minimize legacy chemical containers.

Measure:

The percentage of terminated or transferred staff with 100% disposition of assigned chemical containers within one month of termination or transfer date.

The approach used will be to:

- Measure the percentage of terminated or transferred staff with 100% disposition of assigned chemical containers within one month of termination or transfer date.
- All terminations during FY 2000 will be evaluated.

The following Table reflects expectations in this area.

**Score**

Outstanding	> 80 %
Excellent	65% to 79%
Good	45% to 64%
Marginal	30% to 44%
Unsatisfactory	< 30 %

## Environmental Protection

Consistently meet all SPDES permit limits

BNL is committed to achieving full compliance with environmental requirements.

Compliance with SPDES discharge limits is important to stakeholders, as SPDES discharges can impact the Peconic and groundwater. Compliance depends upon the efforts of all organizations contributing to discharges through these outfalls. For monitoring Laboratory performance in this area the following process will be used:

Using the SPDES Discharge Monitoring Report results, the raw score for permit exceedances (for all parameters) that occurred during the previous calendar year will be determined. The "raw" score is determined using the algorithm shown below.

SPDES Permit performance expectations are:

1. Has a SPDES limit been exceeded?  
If no, assign a raw score value of 0.
2. If yes, is the exceedance significant?  
If no, assign a raw score value of 1.
3. If yes, has the exceedance occurred in two or more consecutive months?  
If no, assign a raw score value of 2.
4. If yes, has the exceedance occurred for more than one consecutive quarter?  
If no, assign a raw score value of 2 per month of violation then add 3 to the raw score total.
5. If yes, assign a raw score value of 2 per month of violation then add 10 to the raw score total.

Once the raw score has been determined, for each exceedance episode, determine the Quality Factor that will be used to adjust the raw score. The Quality Factor is used to rate the extent of the exceedance and is determined in accordance with the following table:

Quality Factor	Toxic Pollutants	pH	Non-Toxic Pollutant
1	1.0 – 1.5 x Limit	Within 1 SU of Limit	1.0 – 3 x Limit
3	1.5 – 3 x Limit	Within 1.5 SU of Limit	3 – 5 x Limit
5	3 – 5 x Limit	Within 2 SU of Limit	5 – 10 x Limit
10	5 – 10 x Limit	Greater than 2 SU from Limit	> 10 x Limit
20	> 10 x Limit	N/A	N/A

Multiply the Quality Factor by the raw score for each exceedance episode to determine the adjusted score.

### Assumptions:

1. Determination of a Significant Exceedance  
Toxic Pollutants: Exceedance > 1.2 x Limit  
Non-Toxic Pollutants: Exceedance > 1.4 x Limit  
pH: > or < 1 SU from Limit
2. Toxic Pollutants include all metallic elements (including iron), volatile organic compounds, cyanide, and radiological contaminants.
3. Non-Toxic Pollutants include BOD, TSS, residual chlorine, ammonia nitrates/nitrites, and coliform.

The following Table reflects Expectations in this area.

Rating Levels	Performance (Adjusted Score)
Outstanding	0
Excellent	1-25
Good	26-45
Marginal	46-75
Unsatisfactory	> 75

In the area of environmental spills BNL is committed to strong spill prevention program and a timely, effective spill response program for preserving the quality of soils and groundwater at BNL.

To facilitate monitoring our performance in this area the total number of significant spills to the environment and the time necessary to remediate these releases to the satisfaction of NYSDEC will be weighed against 1995 baseline values (i.e.; 3 significant releases).

The following Table reflects expectations in this area.

Table 1 Significant Spills Performance Metric			
Rank	Maximum Incident Rate	Remediation Conditions with Point Assignment	Total Score
Outstanding	0 incidents/year (16 points)	N/A	16
Excellent	1 incident/year (9 points)	Spill is cleaned up to the satisfaction of the NYSDEC within 30 days of the occurrence (3 points) and there are no impacts to groundwater (3 points)	12-15
Good	2 incidents/year (6 points)	Spill is cleaned up to the satisfaction of the NYSDEC within 60 days of the occurrence (2 points) and there are no impacts to groundwater (2 points)	8-11
Marginal	3 incidents/year (3 points)	Spill is cleaned up to the satisfaction of the NYSDEC more than 60 days after the occurrence (1 point) and there are no impacts to groundwater exceeding MCLs (1 point)	5-7
Unsatisfactory	>3 incidents/year or any spill with known impacts to groundwater which exceeds MCLs (0 points)	Spill is not cleaned up to the satisfaction of the NYSDEC (0 points)	0-4

Assumptions:

1. An "incident" is a significant spill. Spills are releases of liquids.
2. Spills of petroleum products greater than 42 gallons will be considered significant.
3. Any release of a hazardous material (excluding petroleum products) in quantities which exceed either of the following reportable quantities: RCRA, CERCLA, SARA, NYS Chemical Bulk Storage (6NYCRR Part 597) is considered significant.
4. If this release results in impact to groundwater above MCLs, then any quantity release is considered significant.
5. Spills completely contained within secondary containment systems will not be considered significant, regardless of quantity spilled.
6. Only spills associated with current operations will be considered under this measure (i.e., release occurs or is ongoing in FY '00). Historical spills discovered during remedial investigations, other clean up or construction operations will not be included in this metric.

In the area of Tritium releases to the Sewage Treatment Plant (STP Outfall) BNL has established a standard of performance that staff shall ensure that all environmental effluents, emissions and wastes associated with their work are as low as reasonably achievable. Tritium emissions/effluents have high visibility with stakeholders due to groundwater contamination resulting from past practices. The STP Outfall discharges directly to the Peconic River, and the Peconic recharges groundwater. The STP receives waste from the entire site.

STP discharge quality has been raised as an issue in the reactor restart decision. However, tritium discharge is not regulated in the SPDES permit. Note that the Drinking Water Standard for tritium is 20,000 pCi/L, and administrative approval authorization limits are already much lower than those specified in DOE Order 5400.5.

The goal of this measure is to eliminate tritium spikes at the Outfall, and to encourage implementation of pollution prevention opportunities to reduce batch releases to the STP. BNL's new E-ALARA decision process will be used to authorize releases.

The following Table reflects expectations in this area.

Rating Levels	Performance	Score
Outstanding	Monthly average < 5,000 pCi/L and Daily Composite < 5,000 pCi/L	4.0
Excellent	Monthly average < 10,000 pCi/L and Daily Composite < 10,000 pCi/L	3.0-3.9
Good	Monthly average < 10,000 pCi/L and Daily Composite < 20,000 pCi/L	2.0-2.9
Marginal	Monthly average < 10,000 pCi/L and Daily Composite = 20,000 pCi/L	1.0-1.9
Unsatisfactory	Monthly average > 10,000 pCi/L and Daily Composite > 20,000 pCi/L	<1.0

Calculate the score for each month. Then calculate the average annual score. The final rating level for this measure is based on the average annual score. Subtract 1.5 points from the total score for each daily composite >60,000 pCi/L (a spike of 3x the Drinking Water Standard).

Assumptions:

None.

In the area of waste reduction and resource conservation BNL is committed to achieve Contractual and Secretarial goals.

The following targets for routine waste generation measures were developed based on secretarial goals and the environmental index in the BSA contract.

50% reduction in Hazardous Waste

50% reduction in Mixed Waste

30% reduction in Radioactive Waste

25% improvement in Affirmative Procurement from FY97 Baseline (total dollars spent on designated items)

The following Table reflects expectations for this area.

Rating Level	Performance
Outstanding	All reduction goals achieved.
Excellent	Reduction goals achieved for three out of four categories
Good	Reduction goals achieved for two categories
Marginal	Reduction goals achieved for one category
Unsatisfactory	None of the reduction goals achieved.

Assumptions:

1. FY95 is the baseline year, unless otherwise noted.
2. All numbers are Fiscal Year.
3. Only waste from "routine" operations is tracked for this purpose. Construction/demolition wastes, restoration wastes, newly identified wastes, legacy wastes, legacy/newly identified spills, PCB waste, lead painted debris, lead shielding, and other wastes determined to be "non-routine," with concurrence by DOE, shall not be included.
4. Solid Waste Diversion rate is calculated as  $\text{Solid Waste Diversion Rate} = (R/(R+L)) * 100$ , where R= the amount of sanitary waste that is composted, mulched, recycled, reused, and donated, and L= the amount of sanitary waste transferred to a landfill.
5. Source of data is WMD database (hazardous, radioactive, and mixed waste goals), Plant Engineering Recycling Program (Solid waste diversion goal), and Annual Report of Waste Generation and Pollution Prevention Progress (Affirmative Procurement goal).
6. Sufficient funds will be available for performance of Pollution Prevention Opportunity Assessments and implementation of feasible options.
7. Any actual or anticipated change in workload or operations will be brought to the attention of DOE as soon as possible, and appropriate changes will be made to the goals. These changes (e.g., lab-wide changeout of PCB ballasts) can be incorporated via the operations factor used in the Environmental Index.

### **Pollution Prevention/Waste Minimization**

The Laboratory is committed to improving its Pollution Prevention/Waste Minimization Program.

Pollution prevention includes source reduction, substitution of less or non-hazardous chemicals for hazardous ones, reuse and recycling. Strengthening the Pollution Prevention program at BNL is a high priority on the ESD improvement agenda, and was identified as an area needing improvement in the EH Audit. In targeting waste streams for pollution prevention/waste minimization, emphasis should be placed on opportunities identified in the Phase II Process Evaluation Process, waste streams of primary concern to stakeholders, and waste streams where reductions are needed to meet secretarial or contractual goals. The Environmental Compliance and Waste Management Representatives will team with Dept. staff to provide technical assistance for the Pollution Prevention program, which will be implemented via assessments of pollution prevention opportunities as described above, and as part of the Experimental Review, Facility Design Review and Tier 1 processes.

#### Expectations:

1. Form a Pollution Prevention Council with Lab-wide representation to broaden awareness and ownership by 12/15/99. A charter will be developed. One of their tasks will be to develop an improved system to capture and track costs avoided/saved as a result of implementation of pollution prevention/waste minimization opportunities.
2. By 09/30/00, conduct assessments of pollution prevention opportunities to evaluate the technical and economic feasibility of implementing opportunities identified during the Phase II Process Evaluations that were completed and documented by the end of FY 99. Priority routine waste streams/emissions/effluents will be identified. At least one assessment will be conducted for each Department that has a distributed waste minimization goal and the expectation is that at least one pollution prevention opportunity will be implemented for each such Department. An effort will be made to identify key waste streams in each of the following categories: Hazardous Waste, Radioactive Waste, Mixed Waste, and Solid Waste. Selection criteria will also include amount of waste generated, toxicity, and likelihood of success.

**Scoring:**

Rating Levels	Performance
Outstanding	Acceptable quality and ahead of schedule
Excellent	Acceptable quality and within milestone
Good	Acceptable quality and minor schedule variance
Marginal	Marginal quality or significant schedule variance.
Unsatisfactory	Marginal quality and significant schedule variance.

**Assumptions:**

Sufficient funds will be available for performance of pollution prevention opportunity assessments and implementation of feasible options. (Note: DOE-EM (HQ) has indicated that funding provided previously will not be allocated in FY 00).

**Radiological Control**

BNL will seek to achieve operational excellence in radiological control

In regard to AGS Collective Dose the following Table reflects expectations consistent with the goals as generated by the AGS ALARA Committee.

**Performance Rating Levels:**

Rating Level	Performance
Outstanding	Under-running ALARA Goal by 20%
Excellent	Under-running ALARA Goal by 10%
Good	Meeting ALARA Goal
Marginal	Exceeding ALARA Goal 20%
Unsatisfactory	Exceeding ALARA Goal 40%

In regard to Radioactive Contaminations BNL will monitor the numerical count of the number of events (not individuals) of external personnel contamination that meet ORPS reportable criteria.

The following Table reflects expectations in this area.

**Performance Rating Levels:**

Rating Level	Performance
Outstanding	4 or less
Excellent	5-8
Good	9-12
Marginal	13-16
Unsatisfactory	>17

Note: Performance may be changed to rate of events versus Radiation Work Permit entry time after sufficient data is available.

In regard to internal uptakes BNL will seek to reduce the numerical count of internal uptakes including tritium in excess of 100 mrem from planned operations.

The following Table reflects expectations in this area.

Rating Level	Performance
Outstanding	0 events
Excellent	2 events
Good	3 events
Marginal	4 events
Unsatisfactory	5 events

In regard to unplanned dose BNL will seek to reduce the numerical count of events (not individuals) that either result in an unplanned dose exceeding (internal or external dose) the expected dose by 100 mrem or result in an unplanned dose exceeding Administrative Control Levels (ACL).

The following Table reflects expectations in this area.

Rating Level	Performance
Outstanding	0 events
Excellent	2 events
Good	3 events
Marginal	4 events
Unsatisfactory	5 events

In regard to the Radiological Control Program BNL is seeking to demonstrate significant improvements. One method of demonstration will consist of issuing the remaining (proposed) eight institutional Radiological Control Procedures and translation/incorporation into SBMS Subject Areas. Expectations are as follows:

Outstanding	8 completed by end of first quarter
Excellent	8 completed by end of second quarter
Good	6-7 completed by end of second quarter
Marginal	4-5 completed by end of second quarter
Unsatisfactory	<4 completed by end of second quarter

A second method of demonstrating significant improvement in the Radiological Control Program is for DOE to repeat a minimum of three assessments from the FY98/99 performance years and compare their overall scores to the baseline scores of those years. The recommended assessments to be repeated are contamination control, radiological postings, radiological training, and internal dosimetry.

Overall assessment scores will be determined as outstanding, excellent, good, marginal, unsatisfactory, and then compared to the baseline assessment scores. The expectations in this category will then be made on the following scale.

Outstanding	Four step increase in overall scores
Excellent	Three step increase in overall scores
Good	Two step increase in overall scores
Marginal	One step increase in overall scores
Unsatisfactory	No overall movement in scores Outstanding – 4 points

NOTE: A step increase is considered an incremental change in rating (e.g.; a change from marginal to good is a one step increase, from marginal to excellent is a two step increase). The total number of step increases by summation of the three assessments is the overall score to be rated (i.e.; if two assessments each show a two step increase, the total step increase is 4 - an outstanding rating).

#### **Chemical Safety**

As part of its commitment to ES&H Excellence BNL has implemented a Chemical Safety Improvement Plan

In FY00 the Laboratory is committed to achieving key milestones as delineated in the formal project plan, and its predecessor documents, submitted to DOE-BHG and to maintain or accelerate the critical path to project completion.

The key Chemical Safety Program deliverables are:

- BNL Chemical Safety Subject Areas by 4/30/00.
- Incorporate Chemical Safety into Worker Safety & Health Management System Description by 10/11/99.
- Implementation Plan for Chemical Safety Program Revisions by 4/20/00.
- Plan for the line implementation of chemical safety feedback and continuous improvement by 4/4/00.

The FY00 Chemical Safety Improvements deliverables will largely focus on developing requirements, procedures and products needed to achieve chemical safety improvements. Meeting the project milestones above will be considered Excellent performance, and bettering a milestone by 30 days or more will comprise Outstanding performance for that milestone. Missing a milestone by up to 45 days will be considered Good performance for that milestone, but only if the critical path is not adversely affected. Missing a milestone by more than 45 days will be considered Marginal performance for that milestone and by more than 90 days will be considered Unsatisfactory performance for that milestone.

### **Management Systems**

BNL is committed to improving the effectiveness and efficiency of its ES&H related management systems. One such area of improvement is Training Cost Savings/Training Cost Avoidance

To facilitate this BNL will establish baselines for the following Training Organization Data Cost Elements in order to establish incentives for reduced unit costs, increased quality and amount saved. Baselines are to be established for the following five data cost elements.

- Annual Training Organizational Cost
- Average Cost Per Participant
- Average Annual Training Hours Per Employee
- Annual Instances of Training
- Training Investment Per Employee

Other key T&Q initiatives include items 1 through 5 listed below. Each of these will be given a Pass/Fail determination on the basis of whether they are completed and the resulting systems established and incorporated into the management system or not.

1. A Personnel Qualification system will be established for all BNL employees to ensure that employees are trained and qualified to prevent and/or mitigate worker exposures to hazardous conditions and to prevent and/or mitigate impacts to the environment.
2. A system for evaluating the effectiveness of training on-site will be established.
3. A system for the review and updating of course lesson materials as requirements change will be established.
4. A system for implementing a site-wide instructor qualification program will be established.
5. A system for the development of new courses will be established to ensure cost effectiveness of training, including a mechanism for collecting and reporting cost savings or cost avoidance from the use of existing DOE training materials and cost sharing activities.

Expectations are:



Outstanding: 5 initiatives determined as "Pass"  
Excellent: 4 initiatives determined as "Pass"  
Good: 3 initiatives determined as "Pass"  
Marginal: 2 initiatives determined as "Pass"  
Unsatisfactory: 1 initiatives determined as "Pass"

In regard to T&Q performance the Laboratory will seek to increase the percentage of required training courses completed by staff as of 9/30/2000 (based on assignment to training and qualification requirements). Expectations are:

Outstanding:  $\geq 95\%$   
Excellent:  $90\%$  to  $< 95\%$   
Good:  $85\%$  to  $< 90\%$   
Marginal:  $80\%$  to  $< 85\%$   
Unsatisfactory:  $< 80\%$

Another key ES&H management system improvement initiative is the Lost Workday Case Rate Reduction Program (LWCRRP). In this program, BNL will seek to achieve key milestones as delineated in the formal project plan, and its predecessor documents, submitted to DOE-BHG and to maintain or accelerate the critical path to project completion.

The LWCRRP deliverables are as follows:

- LWCR Final Reduction Plan by 10/30/99.
- Issuance of Subject Areas by 4/30/00.
- Implementation of Supervisor's Clinic Visit Program by 10/30/99.
- Delivery of Performance Trends to Management and Staff within 30 days of previous quarter.
- Develop Department/Division specific LWCR Reduction plans for Plant Engineering, Staff Services, RHIC, Central Shops, AGS, NSLS, Safeguards and Security, Emergency Services, Waste Management, and Supply & Materiel by 1/2000.

The FY00 LWCRRP deliverables would largely focus on developing programs, procedures and policy needed to underpin the project. Meeting the project milestones above will be considered Excellent performance, bettering milestones by 30 days or more will comprise Outstanding performance for that milestone. Missing a milestone by 30-60 days will be considered Good performance for that milestone only if the critical path is not affected. Missing a milestone by more than 60-90 days is Marginal, and by more than 90 days will be considered Unsatisfactory performance for that milestone.

### **Leadership and Management**

#### **Leadership**

BNL is committed to evaluating the implementation of a Laboratory Suggestion System. An evaluation will be initiated early in FY00 and a report will be issued soon thereafter.

The following metrics reflect expectations for this report.

Report completed by 12/31/99 - Outstanding  
Report completed by 2/28/00 - Excellent  
Report completed by 4/30/00 - Good  
Report completed by 6/30/00 - Marginal  
Report completed after 6/30/00 - Unsatisfactory

BSA will conduct an assessment of Laboratory performance using the Off-Ramp criteria as defined by the Prime Contract.

BNL is also committed to expanding its Mentoring Program for Research Associates and new Scientific Staff members to be implemented by 9/30/00.

Expectations for design and approval of the Mentoring Program are:

- Completed by 3/31/00 - Outstanding
- Completed by 5/31/00 - Excellent
- Completed by 7/31/00 - Good
- Completed by 9/30/00 - Marginal
- Not completed by 9/30/00 - Unsatisfactory

### Infrastructure

BNL is committed to ensuring that its infrastructure planning documents are comprehensive, well written and integrated with BNL mission goals. The following Table identifies the milestones and relative importance (higher points for higher importance) of the key Infrastructure Planning documents planned in FY00.

#### FY00

PROJECT/TASK	POINTS	MILESTONE
Commitment Affirmation Letter	10	10/31/99
ESH&I Management Plan	20	4/30/00
Institutional Plan, Site & Facilities Section	5	5/30/00
Energy Management Plan	10	5/30/00
GPP Program Plan	10	Eight (8) weeks after DOE approval of CURL
Special Maintenance Program Plan	10	Eight (8) weeks after DOE approval of CURL
Site Master Plan	30	9/30/00
Alternative Financing (ESPC) for Energy Management Study	5	9/30/00

Performance expectations for delivering these documents is based on the total point score as follows:

100	Outstanding
81-90	Excellent
71-80	Good
61-70	Marginal
60 or less	Unsatisfactory

BNL is committed to achieving balanced priorities through prioritization of project needs using DOE validated prioritization methodologies.

Projects will be prioritized at least twice per year and the highest priority projects are funded within available resources. The following specific tasks are expected in FY00.

TASK	MILESTONE
All ADSs received prior to 12/31/99 are processed, scored, binned so as to be considered for the FY01 DOE budget submission	2/15/00
All ADSs received prior to 5/30/99 are processed, scored, and binned to support delivery of the Consolidated Unfunded Requirements List (CURL) to DOE by 10/1/00	8/30/00

As an integral part of Standards-Based Management and Integrated Safety Management BNL is committed to implementation of its Facility Use Agreements. The following Facility Use Agreements milestones are expected for FY00.

<i><b>PROJECT/TASK</b></i>	<i><b>MILESTONE</b></i>
Completion of Facility Use Agreements for "high priority" facilities	3/00
Completion of Facility Use Agreements for balance of BNL facilities	8/00

Performance expectations are as follows:

Missed 0 milestones	Outstanding
Missed 1 milestones	Good
Missed 2 milestones	Unsatisfactory

In the area of reliable utility services BNL expects to monitor its performance in the following manner.

Electric System Reliability (ESR):

$$(ESR) = \frac{\text{Total Customer Hours} - \text{Unplanned Outage Customer Hours}}{\text{Total Customer Hours}}$$

Greater than 0.999	Outstanding
0.998 to 0.999	Excellent
(ESR) = less than 0.994	Unsatisfactory
0.996 to 0.997	Good
0.994 to 0.995	Marginal

Description of Proposed Method

1. When an unplanned electric power outage occurs, an electrical supervisor will log outage.
2. Information will be forwarded to O&M Manager's office, where it will be completed. Data will be tracked monthly.
3. Through the fiscal year, all electric power customer-outage-hours will be totaled to arrive at a figure for total customer-hours outage for the fiscal year.
4. Electric distribution system reliability will be calculated:

$$\frac{\text{Total Customer Hours} - \text{Unplanned Outage Customer Hours}}{\text{Total Customer Hours}}$$

Notes:

1. Standard population figures for each building will be supplied by Plant Engineering's planning group and updated periodically.
2. Customer outage hours will be based on the actual time the facilities are without power times the population for those buildings.
3. Total customer hours will be calculated using figures supplied by Plant Engineering's planning group times 8760 hours per year.
4. Only outages due to failures in the BNL-maintained power distribution system (13.8kV and 2400V) will be included. Off-site (LIPA) outages will not be included. Outages due to malfunctions inside buildings will not be included.

In regard to buildings and facilities reliability BNL intends to measure the effectiveness of maintaining buildings in operational status with due consideration of the present (FY99 and FY00) infrastructure budget constraints. We will monitor our performance in the following manner.

Building and Facilities Reliability (BFR):

$$(BFR) = \frac{\text{Total Building Availability (ft}^2\text{-days)} - \text{Building Failures (ft}^2\text{-days)}}{\text{Total Building Availability (ft}^2\text{-days)}}$$

FY00 Performance Measure

(BFR)	=	Greater than 0.999	Outstanding
		0.998 to 0.999	Excellent
		0.996 to 0.997	Good
		0.994 to 0.995	Marginal
		Less than 0.994	Unsatisfactory

Description of Proposed Method

1. When an unplanned building system outage or failure occurs which significantly disrupts occupants of a building or renders the space unusable, the cognizant Plant Engineering supervisor will log outage. The information will be forwarded to O&M Manager's office. Data will be tracked.
2. At the end of each reporting period (month), all building failures will be totaled to arrive at a figure for building and facility reliability for the fiscal year.
3. Building and facility reliability will be calculated as a percentage:

$$\frac{\text{Total Building Availability (ft}^2\text{-days)} - \text{Building Failures (ft}^2\text{-days)}}{\text{Total Building Availability (ft}^2\text{-days)}}$$

Notes:

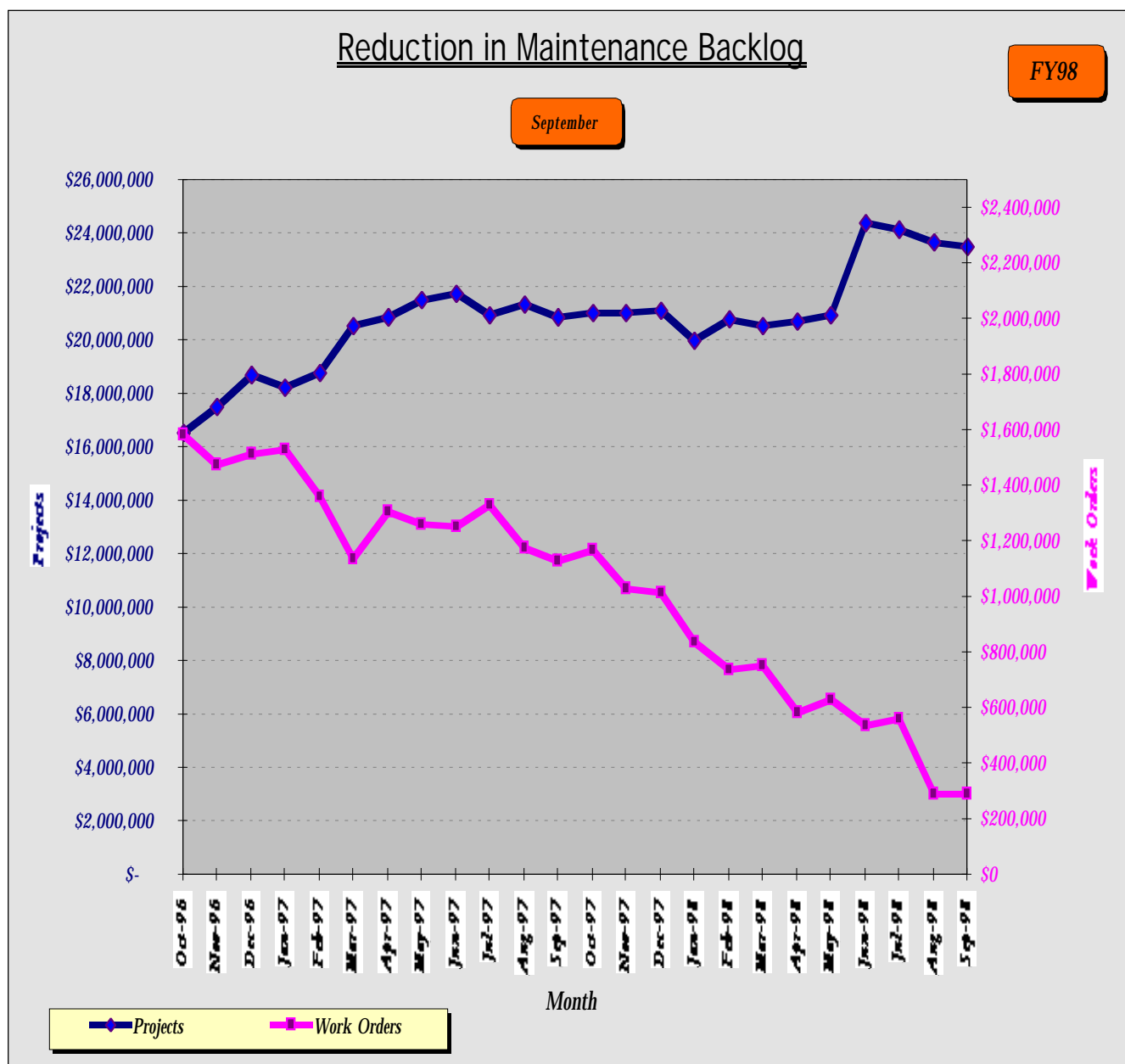
1. Standard square footage for each building will be from Plant Engineering's planning group space database.
2. Building and facility failure days will be based on the actual days the facilities are without critical services (or are unusable) times the normal population for those buildings.
3. Total Building Availability will be calculated using site square footage figures supplied by Plant Engineering's planning group times 365 days per year.

In regard to reduction in maintenance backlog BNL is committed to tracking and improving two categories of maintenance backlog:

Work Order Backlog is defined as the total dollar value of short order tickets (including preventive maintenance) issued for requested or required maintenance, but not yet completed and closed.

Recurring Maintenance Backlog is defined as the total dollar value of the facilities maintenance projects waiting for funding. (These projects are normally funded out of Plant Engineering's "recurring maintenance" budget.)

The methodology for tracking these backlogs is shown in the graph below.



In regard to maintenance of the FIMS Database BNL will implement a two-year plan to fully populate all required fields in DOE's FIMS database and begin validating FIMS data.

Currently, BNL FIMS contains data on approximately 900 assets (e.g., buildings, facilities, portable structures / trailers). It is estimated that, in the recent past, as many as 40 new fields per asset (e.g., 900 x 40 fields) have been added and need to be populated. Researching this additional information (much of which requires analysis or research to input) was not possible with the available resources.

DOE-Chicago has made the population of the FIMS data an LCAM priority.

To monitor progress in this area BNL will ensure the following:

$FIMS_{99}$  = Baseline number of fields unpopulated on 8/31/99

$FIMS_{00}$  = Baseline number of fields unpopulated on 8/31/00

Percent change in FIMS =  $\frac{FIMS_{00} - FIMS_{99}}{FIMS_{99}}$

Expectations are reflected as follows:

Percent change in FIMS greater than 50%	Outstanding
Percent change in FIMS 40 to 49%	Excellent
Percent change in FIMS 30 to 39%	Good
Percent change in FIMS 20 to 29%	Marginal
Percent change in FIMS less than 20%	Unsatisfactory

Notes:

- FIMS99 (percent of fields populated today) = XX.X%
- Second year plan – complete populating empty fields. Begin program on validating data using random sampling and checking.

BNL is also committed to ensuring that its energy utilization is effectively and efficiently managed and that total energy consumption declines consistent with plans for site growth and operations. To facilitate this the Laboratory will focus on percent reduction in energy consumption per gross square foot. Executive Order 13123, "Greening the Government through Efficient Energy Management," dated 6/3/99, requires that all Federal agencies work to meet Federal energy management goals for FY 2010 and implement strategies to meet those goals.

The DOE has established and maintained a series of progressive energy reduction goals covering the period of FY 1985–2010. The current energy reduction goals are to reduce building energy: 20% by FY 2000; by 30% in FY 2005; and by 35% by 2010, all as compared to FY85.

$$(E) = \frac{\text{Last FY B\&F Energy Use} - \text{Current FY B\&F Energy Use}}{\text{Last FY B\&F Energy Use}}$$

FY00 Performance Measure

Annual B&F energy increase	over 5%	unsatisfactory
Annual B&F energy increase	0-5%	marginal
Annual B&F energy decrease	0-2%	good
Annual B&F energy decrease	2-4%	excellent
Annual B&F energy decrease	over 4%	outstanding

Description of Proposed Method

1. Calculate and report reduction in building and facility electric and thermal energy consumption (non-metered process / non-programmatic facilities).
2. Compare current fiscal year energy building and facility electric and thermal energy consumption to last year's consumption to measure recent progress toward federal goals. For example:
  - FY98 = 329,905 Btu/SF
  - FY97 = 337,720 Btu/SF
  - FY96 = 350,397 Btu/SF
  - FY95 = 354,641 Btu/SF\*
  - FY85 = 434,295 Btu/SF\*

\* base year

$$\frac{337,720 \text{ Btu/SF} - 329,905 \text{ Btu/SF} * 100}{337,720 \text{ Btu/SF}} = 2.3\% \text{ reduction}$$

3. Continue to "track and trend" progress in energy reduction – current year to base year – and calculate percent reduction. For example:
  - FY98 = 329,905 Btu/SF
  - FY85 = 434,295 Btu/SF

$$\frac{434,295 \text{ Btu/SF} - 329,905 \text{ Btu/SF} * 100}{434,295 \text{ Btu/SF}} = 24\% \text{ reduction}$$

#### Notes

- a. Metered process not a good performance measure as it is budget driven and dependent on research machine (i.e., RHIC, AGS, NSLS) operational modes.
- b. IHEM (energy conservation project) program was discontinued in FY96. Also, this measure can be significantly affected by weather (i.e., heating and cooling degree-days).

### **Environmental Stewardship**

A key element of waste reductions is the recycling of solid waste. To facilitate this BNL will control and reduce the amount of solid waste sent to the landfill through recycling, whenever possible. The quantities (by weight) of solid waste (in various waste streams) recycled and disposed of at the Brookhaven Town Landfill will be measured. The percent of waste that is recycled will be reported.

This measurement is an indicator of the effectiveness of the material recycling and waste reduction efforts at BNL.

Percent Recycled (PR)

$$PR = \frac{\text{Total tons of solid waste recycled}}{\text{Total tons of solid waste generated}}$$

#### FY00 Expectations

Less than 20.0% recycled	Unsatisfactory
25.0% to 29.9%	Marginal
30.0% to 34.9%	Good
35.0% to 44.9%	Excellent
More than 45.0%	Outstanding

#### Description of Proposed Method

1. Solid waste generated at BNL is either recycled (white/computer paper; mixed paper; cardboard; bottles/cans; tires) or sent to the Brookhaven Town Landfill for disposal (putrescibles; animal waste).
2. Track and record tons of waste recycled and tons of waste sent to Brookhaven Town Landfill. Add recycled and landfilled waste to obtain total tons of solid waste generated at BNL.

Notes

- a. Background data:
- |                                |
|--------------------------------|
| FY92 percent recycled = 2.9%   |
| FY93 percent recycled = 14.2%  |
| FY94 percent recycled = 27.6%  |
| FY95 percent recycled = 30.5%  |
| FY96 percent recycled = 29.8%  |
| FY97 percent recycled = 22.6%  |
| FY98 percent recycled = 28.7%* |
| FY99 percent recycled = 43%**  |

\* BNL/Brookhaven Town cooperative recycling program began 3/98.

\*\* To date, (as of 4/99).

- b. Measure excludes construction debris (which is normally recycled). The construction debris waste stream varies significantly with annual variations in construction funding and type of construction activity and would significantly distort the measure.
- c. Measure excludes hazardous or radioactive wastes.

Business Operations

BNL is committed to conducting a self-assessment using the Balanced ScoreCard model for Procurement and Property Management and in accordance with a Self-Assessment Agreement.

BNL is committed to re-engineer and implement an enhanced Travel Management System.

The current automated Domestic and Foreign travel application is part of the Laboratory's current legacy system and requires upgrading. The planned implementation date for this application is **January 2000**. Initiate a feedback/change control process to further enhance effectiveness and meet customer needs – **April 2000**.

The FY00 deliverables focus on developing and implementing the above modules as well as initiating a feedback/change control process to further enhance their effectiveness and meet customer needs. Meeting the project milestones will be considered Excellent performance, and bettering a milestone by 30 days or more compromise Outstanding performance for that milestone. Missing a milestone by up to 45 days will be considered Good performance for that milestone, but only if the critical path is not adversely affected. Missing a milestone by more than 45 days will be considered Marginal performance for that milestone and by more than 90 days will be considered Unsatisfactory performance for that milestone.

BNL is also committed to purchase and implement a Maintenance Management and Job Cost System for Plant Engineering

The current Maintenance Management system utilized by Plant Engineering is a main frame application that is no longer supported. Replacement of this system will include a Job Cost module that will replace Plant Engineering's portion of JCARS (Job Cost and Reporting System). Coupled with other modules, it will also result in efficiencies as well as the capability to move entirely to a client/server environment. Implementation is scheduled for **January 2000**. Initiation of a feedback/change control process to further enhance effectiveness and meet customer needs is scheduled for **April 2000**.

The FY00 deliverables focus on developing and implementing the above module as well as initiating a feedback/change control process to further enhance their effectiveness and meet customer needs. Meeting the project milestones will be considered Excellent performance, and bettering a milestone by 30 days or more compromise Outstanding performance for that milestone. Missing a milestone by up to 45 days will be considered Good performance for that milestone, but only if the critical path is not adversely affected. Missing a milestone by more than 45 days will be considered Marginal performance



for that milestone and by more than 90 days will be considered Unsatisfactory performance for that milestone.

BNL is also committed to purchase and implement a Shop Management and Job Cost System for Central Shops

Replacement of this system will include a Job Cost module that will replace Central Shops' portion of JCARS (Job Cost and Reporting System). Coupled with other modules, it will also result in efficiencies as well as the capability to move entirely to a client/server environment. Implementation is scheduled for **January 2000**. Initiation of a feedback/change control process to further enhance effectiveness and meet customer needs is scheduled for **April 2000**.

The FY00 deliverables focus on developing and implementing the above module as well as initiating a feedback/change control process to further enhance their effectiveness and meet customer needs. Meeting the project milestones will be considered Excellent performance, and bettering a milestone by 30 days or more compromise Outstanding performance for that milestone. Missing a milestone by up to 45 days will be considered Good performance for that milestone, but only if the critical path is not adversely affected. Missing a milestone by more than 45 days will be considered Marginal performance for that milestone and by more than 90 days will be considered Unsatisfactory performance for that milestone.

In regard to Electronic Publishing BNL is seeking to make its reports for which distribution is unlimited available in full-text electronically to DOE-OSTI and the public on the WWW.

To facilitate this BNL has set a goal to increase the number of BNL Reports, for which distribution is unlimited, that are electronically available in full text on the Laboratory's web pages, to DOE-OSTI for linking from DOE InfoBridge and for access by the general public, by 20% in FY00 (using end of Y 99 total as the base). Expectations for this area are as follows:

Outstanding:	The number of BNL Reports available on the Web increased by 30% or more in FY00.
Excellent:	The number of BNL Reports available on the Web increased by 25% or more in FY 00.
Good:	The number of BNL Reports available on the Web increased by 20% or more.
Marginal:	The number of BNL Reports available on the Web increased by less than 20%, but by at least 15%.
Unsatisfactory:	The number of BNL reports available on the Web less than 15%.

In regard to improving procurement BNL is seeking to minimize the total level of effort required and reduce cycle time by reengineering the process for directly procuring small dollar non-stock commodity items by credit card to minimize the total level of effort required and reduce cycle time.

Expectations for increasing credit card transactions over baseline year (FY99) are as follows:

≥ 30% increase	Outstanding
20% to 29.99% increase	Excellent
10% to 19.99% increase	Good
0% to 9.99% increase	Marginal
Decrease	Unsatisfactory

BNL is also committed to controlling uncosted operating balances for Landlord and EM activities at levels needed to ensure continuity of operations. This encompasses approximately 85% of the DOE funding for BNL.

To facilitate this BNL will monitor the percentage of uncosted operating balances of SC and EM funding to operating funds received in the financial plan.

Expectations in this area are as follows:

6% - 8%	Excellent/Outstanding
9% - 11%	Good
12% - 14%	Marginal
>14%	Unsatisfactory

In regard to a Vital Records BNL is committed to establishing a program to ensure that the records necessary for continuing operations of the Laboratory will be readily accessible and retrievable in the event of a disaster or other emergency situation. To meet this commitment the Laboratory has identified those records considered vital for its continuing operations and has arranged for their secure storage, and systematic updating at an off-site location. Specifications are as follows:

1. In consultation with Emergency Planning staff, develop vital records definition, procedures and guidance on how to identify vital records and issue to all BNL organizations. Update the Records Management System Description and Subject Area as appropriate. (Complete 12/30/99)
2. Develop training on vital records, and procedures for vital records identification and train line managers and Records Management Representatives. (Complete 5/30/00)
3. All Laboratory organizations identify their vital records and update the Laboratory's Records Management Inventory database with the appropriate designation. (Complete 7/30/00)
4. Investigate and cost-out options for off-site storage of vital records and for the continuous updating of vital records. (Complete 9/30/00)
5. Submit Issue and Decision paper to management for decision on options and funding for vital records storage and continuous updating. (Complete 9/30/00)

Expectations in this area are as follows:

Outstanding:	All milestones met or exceeded and all FY00 deliverables completed by 8/1/00
Excellent:	All milestones met or exceeded and all FY00 deliverables completed by 9/30/00
Good:	Some milestones met but with some schedule slippage and FY00 deliverables met by 9/30/00
Marginal:	One or more milestones not met, resulting in late submission of Issue and Decision Paper to management beyond 9/30/00).
Unsatisfactory:	One or more milestones not met after 10/31/00.

BNL intends to significantly enhance its scientific computing infrastructure. In this regard, BNL will:

- A. Redirect current Lab-wide assets that are components of a scientific computing infrastructure by:
  1. Identifying current assets by 10/31/99;
  2. Reorganizing ITD to articulate scientific infrastructure by 10/31/99.
- B. Survey the Scientific programs to identify and understand significant computational challenges and implementing a schedule that:
  1. Completes the survey process by 1/31/00;
  2. Reports on results of the survey by 3/31/00;
  3. Identifies unmet needs and develops a proposal plan to satisfy them by 5/31/00.

- C. Develop a complementary relationship with the newly formed Center for Data Intensive Computing toward the mutual benefit of both organizations by:
  - 1. Establishing Physical Plant (offices, system space) by 10/31/99;
  - 2. Making joint appointments by 10/31/99;
  - 3. Tying-in systems by 2/28/00.
- D. Develop an IT Strategic Plan for BNL by:
  - 1. Conducting an initial meeting to establish the Vision and Mission, and design a planning process by 10/31/99;
  - 2. Completing the plan and commence its execution by 2/28/00;
  - 3. Reviewing and revising '8 Principles of IT' as necessary and take steps to ensure Lab-wide compliance by 9/30/00.
- E. Identify and deploy outside expertise assets by:
  - 1. Enlisting individuals and companies as strategic resources by 10/31/99;
  - 2. Evaluating the effectiveness of information and advice by 6/30/00.

BNL is committed to ensuring that each individual at the Laboratory has access to IT professional development training necessary to make most effective use of IT to perform his or her job. To facilitate this BNL will:

- A. Establish a personalized training program for all BNL IT professionals that includes:
  - 1. Self-assessments and managerial assessments of training needs by 10/31/99;
  - 2. Identifying courses and other methods of delivery for each employee by 12/31/99;
  - 3. Implementing the training and institute continual individualized updates as part of the performance appraisal process by 3/31/00.
- B. Establish comprehensive IT training opportunities for all BNL staff that includes:
  - 1. Assessments against availability of courses and other delivery materials by 12/31/99;
  - 2. Establishment of new courses as needed, identifying most effective sources by 2/28/00;
  - 3. Getting management buy-in to provide funds, release time, and tools for effective educational experiences by 2/28/00.
- C. Establish a policy on telecommuting for situations where the Laboratory and employee derive mutual benefit that:
  - 1. Obtains management approval for a pilot project by 11/31/99;
  - 2. Commences the pilot project by 2/28/00;
  - 3. Evaluates results of the pilot, makes changes as necessary, and broadens scope if indicated by 9/30/00.

### **Safeguards and Security**

In regard to Safeguards and Security BNL intends to use the DOE-CH biennial inspection process as a basis for assessment of the Laboratory's performance in this area. If an inspection is not conducted during the current assessment period, the appraisal rating for the previous assessment period will be used. Should the Laboratory receive an appraisal rating of less than satisfactory, BNL expects that annual DOE inspections will then be conducted. The Laboratory is required by DOE Order 470.1 to perform a self-assessment of its Safeguards and Security operations in the intervening year between DOE-CH appraisals.

Objective: BNL will conduct Safeguards and Security operations to ensure effective protection of national security interests, proprietary information, personnel, property, and the general public.

Measure: An effective Safeguards and Security Program will ensure cost-effective compliance with all applicable Federal, state, and local laws, and all DOE Orders applicable to Safeguards and Security.

Expectation: The weighted average of all DOE-CH and DOE HQs-assigned appraisal ratings by topical area during the review period.

	Points (PTS)
Program Planning and Management (PPM)	20
Protection Program Operations (PPO)	28
Information Security (INFOSEC)	16
Material Control and Accountability (MC&A)	23
Personnel Security	<u>13</u>
	100

<u>Appraisal Ratings (AR)</u>	<u>Performance Level</u>	<u>Metrics</u>
Unsatisfactory 0%	Outstanding	96-100
Marginal 50%	Excellent	91-95
Satisfactory 100%	Good	81-90
	Marginal	<81

Notes and Assumptions:

- The Laboratory is required by DOE Order 470.1 to perform a self-assessment in the intervening year between DOE-CH appraisals. As a result of BNL receiving a satisfactory appraisal rating of its Safeguards and Security operations in the most recent DOE-CH inspection safeguards and security operations performance appraisal during FY2000 will be based on the results of BNL's FY2000 self-assessment report for this functional area.
- Appraisals result in the following ratings, which are translated into a numeric value that can be used to establish metric values and then derive the adjectival rating.

<u>Appraisal Ratings (AR)</u>	
Unsatisfactory	0%
Marginal	50%
Satisfactory	100%

Formula for Calculating Actual Scores  
 $AR\% \times PTS = AS$

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DEAR 952.204-2, Security (SEP 97); Federal, state, and local law; and all DOE Orders applicable to Safeguards and Security.

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The scope of the self-assessment is identified in Chapter X of DOE Order 470.1.

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A mid-year status report and a final report are required per the terms of the contract. Supporting documentation should be referenced and available for review as determined necessary by BHG.

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Periodic visits by DOE-CH Safeguards and Security Services (SSS) group to BNL and regular interaction by the DOE-BHG with BNL.

## Legal Services

BSA is committed to providing legal services that are timely, cost effective and of high quality. In support of this BSA will execute a litigation management program for cases brought against the Contractor in its operation of the Laboratory that is innovative and complies with the Contractor's DOE-approved litigation management procedures, policies, and Contracting Officer direction and assures that outside counsel provide efficient and effective conduct of litigation at a reasonable cost.

In regard to the number of non-compliances with Contractor's DOE-approved litigation management procedures the following Table reflects expectations for performance.

Outstanding	Excellent	Good	Marginal	
1-10	11-20	21-30	31-40	Minor <u>or</u>
0	1	2	3	Major

Notes and Assumptions:

1. "Minor" generally involves non-compliances relating to invoices;
2. "Major" generally involves non-compliances relating to the contractor/law firm relationship, including documents other than invoices and documentation supporting disbursements.

In regard to the number of cases to which Contractor can demonstrate that it gave thoughtful consideration of the advantages of ADR techniques the following Table reflects expectations for performance.

Outstanding	Excellent	Good	Marginal
All	All but 1	All but 2	All but 3

Notes and Assumptions:

1. "Thoughtful consideration" can be demonstrated by a memorandum-to-file reflecting, timely evaluation of relevant case factors.
2. "Timely" means as appropriate during the litigation process, including in conjunction with case/settlement evaluations at the close of pleadings and at the close of discovery, in accordance with the Contractors DOE-approved litigation management procedures.

In regard to the number and significance of innovative improvements to BNL litigation management program (such as law firm selection, evaluation and incentivization) a subjective evaluation will be made considering, for example:

1. Innovative measures incorporated by the Contractor to manage the cost and performance of outside Counsel; and,
2. Effectiveness of such innovations.

BSA is also committed to ensuring that work products submitted by the Contractor for DOE approval or use are supported by timely, sound/thoroughly researched legal advice. Pursuant to Laboratory policy and procedures, the performance of the BNL Legal Department, in providing sound analysis and counsel on issues requiring legal attention, will be evaluated in a subjective manner, considering, for example:

1. Proactiveness and timeliness of identification by the Legal Department of legal issues for review;
2. Timeliness of work products;
3. The results obtained by the work products;
4. The level of satisfaction expressed by the Contractor management and staff.

In regard to the percentage of on-time responses to DOE-requested legal work products the following Table reflects contract expectations:

Outstanding	Excellent	Good	Marginal
95-100%	90-94%	85-90%	<85%

Notes and Assumptions:

1. Timeliness takes into consideration the amount of advance notice and the availability of prerequisite documents and other inputs.
2. Work products include, but are not limited to:
  - FOIA requests
  - Discovery requests
  - Contingent Liabilities Opinions
  - Quarterly Litigation Status Reports